



Part C Annual Performance Report (APR) FFY 2011

INDIANA



First Steps

February 1, 2013

Part C State Annual Performance Report (APR) for FFY2011

Table of Contents

APR Development Overview	3
Indicator 1 Receipt of EI Services in a Timely Manner.....	4
Indicator 2 EI Services in Home or Community-Based Settings.....	10
Indicator 3 Child Outcomes.....	13
Indicator 4 Family Outcomes.....	22
Indicator 5 Percent of Infants Served.....	28
Indicator 6 Percent of Infant and Toddlers Served.....	30
Indicator 7 IFSP Meeting within 45 Day Timeline.....	32
Indicator 8A IFSP with Transition Steps & Services.....	38
Indicator 8B Notification to LEA.....	42
Indicator 8C Transition Conference	45
Indicator 9 General Supervision - Correction of Noncompliance.....	49
C9 Worksheet	56
Indicator 10 Signed Written Complaints.....	61
Table 4 Report of Dispute Resolution.....	62
Indicator 11 Due Process Hearing Requests.....	63
Indicator 12 Hearing Requests Resolved - Settlement Agreements.....	64
Indicator 13 Mediations.....	65
Indicator 14 Timely and Accurate 618, SPP and APR Data.....	66
Self-Calculating Data Rubric	67

Part C State Annual Performance Report (APR) for FFY2011

Overview of the Annual Performance Report (APR) Development: The Indiana Part C, APR for FFY2011 was developed by the Bureau of Child Development Services, Division of Disability and Rehabilitative Services, Family and Social Services Administration (the lead agency for Part C) utilizing direction and input from a broad group of stakeholders. These stakeholders included:

- Parents and community leaders from the Indiana Interagency Coordinating Council (ICC)
- Cluster Local Planning and Coordinating Councils (LPCCs) and Cluster System Points of Entry (SPOE)
- Providers
- Central Reimbursement Office (CRO)
- Indiana Department of Education, Division of Exceptional Learners
- Quality Review-Focused Monitoring Teams and state contractors for quality review, training and evaluation (Indiana Institute for Disability and Community at Indiana University)
- State staff from Family and Social Services Administration (FSSA), Bureau of Child Development Services (BCDS)

Stakeholder meetings were held in 2011 to discuss the State Performance Plan (SPP) and Indiana's progress in meeting the SPP targets. Data for the FFY2011 APR was presented to the ICC at their quarterly meeting on November. Additionally, all ICC members received updated drafts of the indicator narratives, as they were written. On January 17, 2013, the ICC completed its final review of the FFY2011 APR. The ICC Chairperson signed the Annual Report Certification to use the State's IDEA, Part C, APR for FFY2011 in lieu of submitting a separate ICC annual report.

Data for the indicators in the APR were provided from numerous sources. These include:

- the state centralized database (data warehouse)
- claims data from the Centralized Reimbursement Office (CRO)
- Quality Review-Focused Monitoring data, compiled from annual on-site Cluster reviews
- SPOE self-reviews and Cluster Performance Plan Progress Reports
- Early Childhood Outcomes (ECO) Family Survey (parent exit interviews)
- Child outcome data collected and analyzed by the Indiana Institute for Disability and Community (IIDC) at Indiana University.

All data used in this annual progress report has been verified by staff at the Bureau of Child Development Services, Indiana First Steps System.

Indiana has posted the State Performance Plan (SPP) for previous fiscal years FY 2005-2011. The Annual Progress Report (APR) for FFY2005-2011 along with OSEP letters of response to the State's December 2005 SPP and the FFY2005-FY2010 APR's on the First Steps web site located at <http://www.firststeps.in.gov> and the Unified Training System website at <http://www.utsprokids.org/firststepsinfo.asp>. The Indiana APR for FFY2011 will be posted following its' submission on February 1, 2013. Public postings of the APR Indicator data for the state and each Cluster System Point of Entry (SPOE) can also be found at <http://www.utsprokids.org/firststepsinfo.asp>.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services, including the reasons for delays.

FFY	Measurable and Rigorous Target
2011	100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner

Definition of Timely: In the 2005 SPP, Indiana defined timely as, “*all services written in the IFSP are initiated within 30 calendar days from the IFSP date, with parent approval or within 30 days from the parent signature date on the IFSP service change page for newly added services*”. The expectation is that 30 days represents a reasonable amount of time allowed for services to begin. This time period allows adequate time for authorized services to be entered into the Central Reimbursement Office (CRO) database, for providers to be selected and for appointments with the family to be scheduled. As recommended by OSEP, in the SPP December 2005 letter, Indiana allows an exception for IFSP services that are delayed due to exceptional family circumstances and for less frequently delivered services, such as hearing aid maintenance scheduled on a quarterly basis

Indiana monitors each EIS program (Cluster) annually. For FFY2011, Indiana reviewed a sample of IFSPs (initial, annual and those with new IFSP services added at times other than the initial or annual IFSP) written between July 1, 2011 and June 30, 2012 to determine if new IFSP services were initiated within 30 days of the parent signature date of IFSP or service change page. The sampling unit for this indicator included all children with an IFSP written during FFY2011, (n=20,056). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also included at least 8 files from every service coordinator in the state, thus insuring that all geographic areas of the state were sampled. The data collection strategy involved

Part C State Annual Performance Report (APR) for FFY2011

samples from each of the ten regional Clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Sample data was derived from early intervention record reviews performed by the Quality Review contractors and from state-verified, early intervention record reviews completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records were sent to each Cluster. Reviewers noted if the *Documentation of Service Start* form was present in the record and if all new services started within 30 days of the parent signature on the IFSP or change of service page. If services were not delivered within 30 days, the reason for delay and actual date of service must be specified.

Actual Target Data for FFY 2011:

99% (2473/2502) of infants and toddlers with IFSPs received Early Intervention Services in a Timely Manner (within 30 days of parent signature for all new services). All untimely services must be accounted for, including reason for delay.

Infants and Toddlers with IFSPs who receive Early Intervention Services in a Timely Manner:

a. Number of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	2473
b. Total number of infants and toddlers with IFSPs	2502
Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner (Percent = [(a) divided by (b)] times 100)	99%

Table C1.1 Timely Services by Cluster
FFY2011

	# of IFSPs reviewed	% of total new IFSP services initiated ≤ 30 days	Services provided >30 days	Service never provided	Range in days to service start
State	2502	99% (2473/2502)	29	1	31-58
Cluster A	280	98.57% (276/280)	4	0	34-46
Cluster B	281	99.29% (279/281)	2	0	32-36
Cluster C	256	99.6% (255/256)	1	0	54
Cluster D	133	99.25% (132/133)	1	0	33
Cluster E	262	98.85% (259/262)	3	0	38-58
Cluster F	126	96.8% (122/126)	4	0	34-42
Cluster G	593	98.3% (583/593)	10	0	31-37
Cluster H	230	99.6% (229/230)	1	0	35
Cluster I	158	99% (157/158)	1	0	35
Cluster J	183	98.9% (181/183)	2	1	34

Part C State Annual Performance Report (APR) for FFY2011

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2011: The sample reviewed included 2502 initial and annual IFSPs and service change pages written from July 1, 2011 through June 30, 2012. The sample was cumulative for the year and included four separate reporting periods. Overall 99% (2473/2502) of the records reviewed documented all new services written on the IFSP or the IFSP service change page were initiated within 30 days of the parent signature date was (Table C1.1). This represents a 1% increase from the 98% reported for FFY2010. The Clusters demonstrated a level of compliance in excess of 96%.

Table C1.2 Subsequent Correction of Timely Services FFY2011

Cluster SPOE	State Verified Correction of Non-Compliance Data	Review Period and State Verification Date
A	100% (89/89)	(September 2011– November 2012) Verified 7/18/12
B	100% (86/86)	(September 2011 – November 2012) Verified 7/19/12
C	100% (90/90)	(September 2011– November 2012) Verified 10/13/12
D	100% (77/77)	(September 2011– November 2012) Verified 8/16/12
E	100% (95/95)	(September 2011– November 2012) Verified 10/13/12
F	100% (25/25)	(September 2011–November 2012) Verified 10/4/12
G	100% (90/90)	(September 2011– November 2012) Verified Nov 9, 2012
H	100% (83/83)	(September 2011– November 2012) Verified 10/13/12
I	100% (40/40)	(September 2011– November 2012) Verified 8/31/12
J	100% (34/34)	(September 2011–November 2012) Verified 10/21/11

Reasons for noncompliance were reviewed by the each SPOE and the lead agency. While the lead agency did not find any systemic errors, it was noted that in most instances the delay could be attributed to either a lack of communication between the Service Coordinator, Provider and family, a scheduling difficulty between the parent and provider or a delay resulting from a specific choice of provider.

The State continues to practice activities that were implemented in FFY10, that increase the incident of timely services. These included but are not limited to: 1) the creation of Provider Agencies responsible for recruitment and supervision of ongoing providers to serve specific service regions, 2) streamlining the evaluation process by moving Eligibility Determination Teams under SPOE supervision, and 3) improving the documentation of service start dates, by including them on the Provider Progress Report.

Correction of FFY 2010 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2010 for this indicator: 98%

1. Number of findings of noncompliance the State made during FFY 2010 (the period from July 1, 2010, through June 30, 2011)	9
2. Number of FFY 2010 findings the State verified as timely corrected (verified as corrected within one year from the date of notification to the EIS program of the finding)	9
3. Number of FFY 2010 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Part C State Annual Performance Report (APR) for FFY2011

Correction of FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance – Table C1.3) and/or Not Corrected:

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Verification of Correction of FFY 2010 noncompliance (either timely or subsequent):

For States that Reported Less than 100% Compliance for FFY 2010 for Indicator 1 or that made findings in FFY 2010 under Indicator 1: Nine Clusters had findings issued for Indicator 1 (A, B, C, D, E, F, G, H and J). All nine clusters were able to demonstrate timely correction, within one year of notification. In addition, the state did verify, as included in the FFY 2010 APR that in the 56 individual child instances where services were not provided timely, 53 children did receive the services, albeit not within 30 days. Three additional children exited the system prior to receiving the service.

Indiana has verified that the EIS program with noncompliance identified in FFY 2010 has initiated services, although late, for any child whose services were not initiated in a timely manner, unless the child is no longer within the jurisdiction of the EIS program, consistent with OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02)

Part C State Annual Performance Report (APR) for FFY2011

Table C1.3 FFY10: Correction of Timely Services (Timely & Subsequent)

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	Services provided >30 days	Services never provided	Range in days to service start
A	99% (289/292)	12/7/11	3	0	37,38 & 47 days
B	99% (242/245)	12/8/11	3	0	33,50 & 58 days
C	98% (238/243)	11/29-30/11	2	0	33 & 59 days
D	97% (200/207)	11/4/11	2	1	33 & 44 days
E	93% (213/230)	12/29/11	2	0	32 & 54 days
F	99% (169/171)	10/17/11	1	1	36 days
G	99%(745/754)	12/28/11	2	1	31 & 60 days
H	97%(223/230)	11/29-30/11	2	0	33 & 64 days
I	100%(155/155)	NA	0	0	
J	99%(231/234)	10/21/11	3	0	33, 35 & 35 days

Actions Taken if Noncompliance Not Corrected: All instances of FFY10 non-compliance for Indicator 1 were corrected within the year period. The state will continue to monitor timely services for all Clusters and has requested that all Clusters improve reporting on this indicator. Data reports must include all instances where services exceed 30 days, whether the service was ever provided and in how many days and the exact cause for the delay. This information is also included in the revised provider progress note, providing a secondary source for information and verification.

Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable): All instances of noncompliance for FFY 2009 were reported in the FFY 2010 APR as corrected.

1. Number of remaining uncorrected FFY 2009 findings of noncompliance noted in OSEP's June 2012, FFY 2009 APR response table for this indicator	0
2. Number of remaining FFY 2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2009 findings: Not applicable, the state did not have any outstanding noncompliance issues with this indicator.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: *Not Applicable*

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable): *Not Applicable.*

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): *None requested*

Part C State Annual Performance Report (APR) for FFY2011

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): Indiana continues to demonstrate a very high level of compliance with timely services. In FFY10, Indiana implemented several initiatives to improve timely services. These included the creation of Provider Agencies responsible for recruitment and supervision of ongoing providers, streamlining the evaluation process by moving Eligibility Determination Teams under SPOE supervision, and improving the documentation of service start dates by including them on the revised Provider Progress Report.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Early Intervention Services In Natural Environments

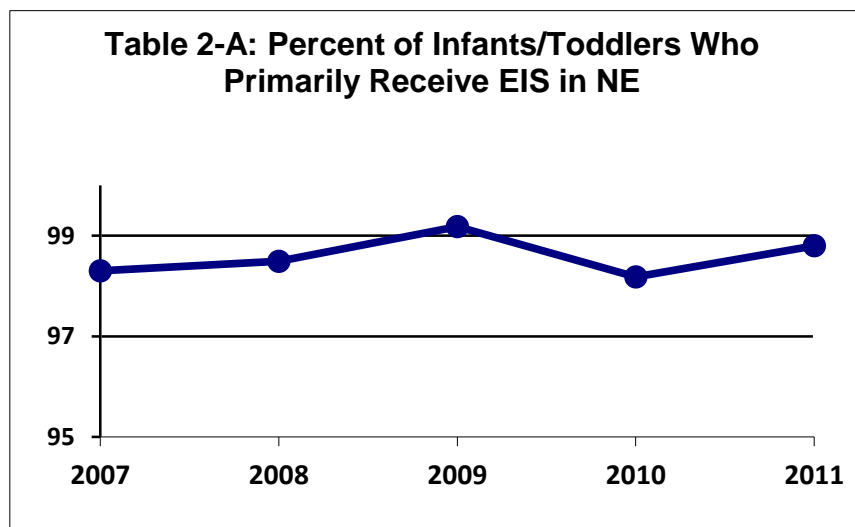
Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement: Percent = [(# of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings) divided by the (total # of infants and toddlers with IFSPs)] times 100.

FFY	Measurable and Rigorous Target
2011	95% of infants and toddlers with an IFSP primarily receive early intervention services in the home or community-based settings.

Actual Target Data for FFY2011: As reported in Table 2 of the 618 data report, 98.8% (8858/8976) of Indiana's infants and toddlers with an IFSP primarily received early intervention services in the home or community-based settings (child care homes, child care centers, local parks, churches, etc.). Indiana has exceeded its target of 95% by over 3%. This data represents a slight increase from the 98.18% reported in FFY2010. Of these, 8858 were home or community based. There were 118 classified as served in *other settings*. Potentially, if "other settings" was considered totally an onsite service, 1.3% of the population received services out of a community-based setting. This continues to be in line historically with previous years data.



Part C State Annual Performance Report (APR) for FFY2011

For the FFY2011, Indiana captured the number of early intervention services in the natural environment from the Central Reimbursement Office (CRO) provider claims data which require a location code for all services provided (these data are collected and analyzed by the state data warehouse). To validate that the claim location data are valid and reliable, Indiana performs billing reviews for approximately 10% of its early intervention providers annually. These reviews conducted by the Quality Review contractors, compare the Face-to-Face form for each service provided during a specified two week period to the provider electronic claim data for the same period. The Face-to-Face form includes the date, time in, time out and service location address. The form is signed by the provider and the parent/guardian attesting to its accuracy. Provider agencies are notified when discrepancies are found. Providers are required to payback any payments for services not provided as they were represented on the face-to-face form. These environments include the home and other community settings in which children without disabilities participate. When the IFSP team (including the parent and Service Coordinator) determines that the provision of early interventions services for an infant/toddler cannot satisfactorily be achieved in the child/family's natural environment, a setting other than a natural environment can be selected.

The IFSP teams make individualized decisions regarding the setting in which infants/toddlers receive early intervention services, in accordance with the IDEA. The IFSP team is trained to consider all possible service options for the child in order to individualize the IFSP for the child and family. When it has been determined by the IFSP team that services are best provided in a setting other than a natural environment for typically developing children, Indiana requires justification for that decision, including options that were considered by the IFSP team, along with a plan and timeline for transitioning the service into the natural environment. This information becomes a part of the child's IFSP.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY11: The SPP target for FFY 2011 was 95%. Indiana continues to exceed its SPP target for the percent of IFSPs with services in the home or programs for typically developing children. As mentioned in the FFY2009 SPP/APR Response Table, no expectation for an increase in the percentage was necessary.

Indiana continues to provide comprehensive training to providers and service coordinators. The Best Practice model remains the basis of all trainings. Direct service providers complete a comprehensive orientation via distance learning with two additional half day of in service training occurring within their first year of enrollment. Amongst educators and ongoing service providers, the orientation courses include modules on service settings in the natural environment and IFSP development. The barriers to providing early intervention services in "other" settings are few as providers increase their skills in this area.

Indiana has instituted procedures for enhanced parent communication and participation in the child's services. Early intervention services provided under Part C are intended to include the parent and/or caregiver as much as possible. This concept allows parents and caregivers to utilize tools and strategies that can be incorporated into a child's routines and daily life, allowing for therapy to continue outside the realm of therapy sessions. Policy changes were made in FFY10 that require active parent and caregiver participation to be a written strategy in a child's IFSP. Families are responsible for adhering to the participation guideline by actively participating regularly in sessions that take place in the home or alternatively scheduled location. Participation is defined as direct, interactive involvement in therapy sessions at the minimum levels defined, as well as follow through on strategies and activities suggested by the First Steps team to promote continued developmental gains outside of the therapy sessions. When services are provided in the presence of another caregiver, such as a daycare or relative's home, that caregiver is expected to actively participate in the therapy sessions. The child's parent is expected to actively participate in these sessions at a minimum of 1 time per month. If an ongoing service is written on a plan for once a month, the parent is required to participate at a minimum of 1 time per quarter. The state and the Indiana's ICC have worked with provider agencies and parent advocacy groups to insure

Part C State Annual Performance Report (APR) for FFY2011

that this policy change did not present an undue burden on working families, while insuring that early intervention services are of the greatest benefit to the child and family in all settings.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY11: The state has reviewed the target and improved activities along with timelines. There are no revisions proposed.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 3: Percent of infants and toddlers with IFSPs who demonstrate improved:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/ communication); and
- C. Use of appropriate behaviors to meet their needs.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

Outcomes:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/communication); and
- C. Use of appropriate behaviors to meet their needs.

Progress categories for A, B and C:

- a. Percent of infants and toddlers who did not improve functioning = $\left[\frac{\text{\# of infants and toddlers who did not improve functioning}}{\text{\# of infants and toddlers with IFSPs assessed}} \right] \times 100$.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = $\left[\frac{\text{\# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers}}{\text{\# of infants and toddlers with IFSPs assessed}} \right] \times 100$.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = $\left[\frac{\text{\# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it}}{\text{\# of infants and toddlers with IFSPs assessed}} \right] \times 100$.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = $\left[\frac{\text{\# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers}}{\text{\# of infants and toddlers with IFSPs assessed}} \right] \times 100$.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = $\left[\frac{\text{\# of infants and toddlers who maintained functioning at a level comparable to same-aged peers}}{\text{\# of infants and toddlers with IFSPs assessed}} \right] \times 100$.

Summary Statements for Each of the Three Outcomes (use for FFY 2011 reporting):

Summary Statement 1: Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, this percent represents children the who substantially increased their rate of growth by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 1:

Percent = $\frac{\text{\# of infants and toddlers reported in progress category (c) plus \# of infants and toddlers reported in category (d)}}{\text{\# of infants and toddlers reported in progress category (a) plus \# of infants and toddlers reported in progress category (b) plus \# of infants and toddlers reported in progress category (c) plus \# of infants and toddlers reported in progress category (d)}} \times 100$. c + d/a + b + c + d X 100=%

Part C State Annual Performance Report (APR) for FFY2011

Summary Statement 2: The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 2: Percent = # of infants and toddlers reported in progress category (d) plus [# of infants and toddlers reported in progress category (e) divided by the total # of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)] times 100.

Measurable and Rigorous Target

Summary Statements	FFY 2009 % of children	FFY 2010 % of children	FFY 2011 % of children	FFY 2012 % of children
Outcome A: Positive social-emotional skills (including social relationships)				
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they exited the program.	52%	53%	53%	53%
2. The percent of children who were functioning within age expectations in Outcome A by the time they exited the program.	50%	51%	51%	51%
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)				
1. Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they exited the program.	57%	58%	58%	58%
2. The percent of children who were functioning within age expectations in Outcome B by the time they exited the program.	69%	70%	70%	70%
Outcome C: Use of appropriate behaviors to meet their needs				
1. Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they exited the program.	54%	55%	55%	55%
2. The percent of children who were functioning within age expectations in Outcome C by the time they exited the program.	62%	63%	63%	63%

Part C State Annual Performance Report (APR) for FFY2011

Actual Target Data for FFY 2011:

Summary Statements	Actual FFY 2009 (% and # children)	Actual FFY 2010 (% and # children)	Actual FFY 2011 (% of children)
Outcome A: Positive social-emotional skills (including social relationships)			
3. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	51% (n=6030)	49% (n= 7198)	50% (n= 6142)
4. The percent of children who were functioning within age expectations in Outcome A by the time they exited the program. Formula: $d+e / a+b+c+d+e$	49% (n=6030)	47% (n=7198)	49% (n= 6142)
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)			
2 Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	59% (n=6030)	59% (n= 7198)	56% (n= 6142)
2. The percent of children who were functioning within age expectations in Outcome B by the time they exited the program. Formula: $d+e / a+b+c+d+e$	69% (n=6030)	68% (n= 7198)	69% (n= 6142)
Outcome C: Use of appropriate behaviors to meet their needs			
2 Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	54% (n=6030)	52% (n= 7198)	53% (n= 6142)
2. The percent of children who were functioning within age expectations in Outcome C by the time they exited the program. Formula: $d+e / a+b+c+d+e$	59% (n=6030)	58% (n= 7198)	63% (n= 6142)

Part C State Annual Performance Report (APR) for FFY2011

Progress Data for Part C Children FFY 2011

B. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of children who did not improve functioning	98	1.6%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	2467	40.2%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	563	9.2%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1965	32.0%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	1049	17.1%
Total	6142	100.0%
C. Acquisition and use of knowledge and skills (including early language/communication and early literacy):	Number of children	% of children
a. Percent of children who did not improve functioning	90	1.5%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1250	20.4%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	554	9.0%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1123	18.3%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	3125	50.9%
Total	6142	100.0%
C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of children who did not improve functioning	77	1.3%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1756	28.6%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	469	7.6%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1616	26.3%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	2224	36.2%
Total	6142	100.0%

Part C State Annual Performance Report (APR) for FFY2011**Discussion of Summary Statements and a-e Progress Data for FFY 2011:**

The data reported for FFY 2011 represents 99% of the children receiving early intervention services for a minimum of six months (N=6,185). It is estimated that this year's progress data is highly representative of the children the program services. In addition, the quality of the data and data analyses reflect several years of implementing and refining the current system for collecting and analyzing the data.

Comparing this year's results with last year's (FFY 2010), there were 1-5% increases in all measures except Outcome B.1, which experienced a decrease of 3%. The increases serve to correct a drop noted in FFY 2010. While the increases are a positive sign for the First Steps Early Intervention Program, continued improvement is needed to address program targets. The state continues to strive to demonstrate improvement in addressing program targets.

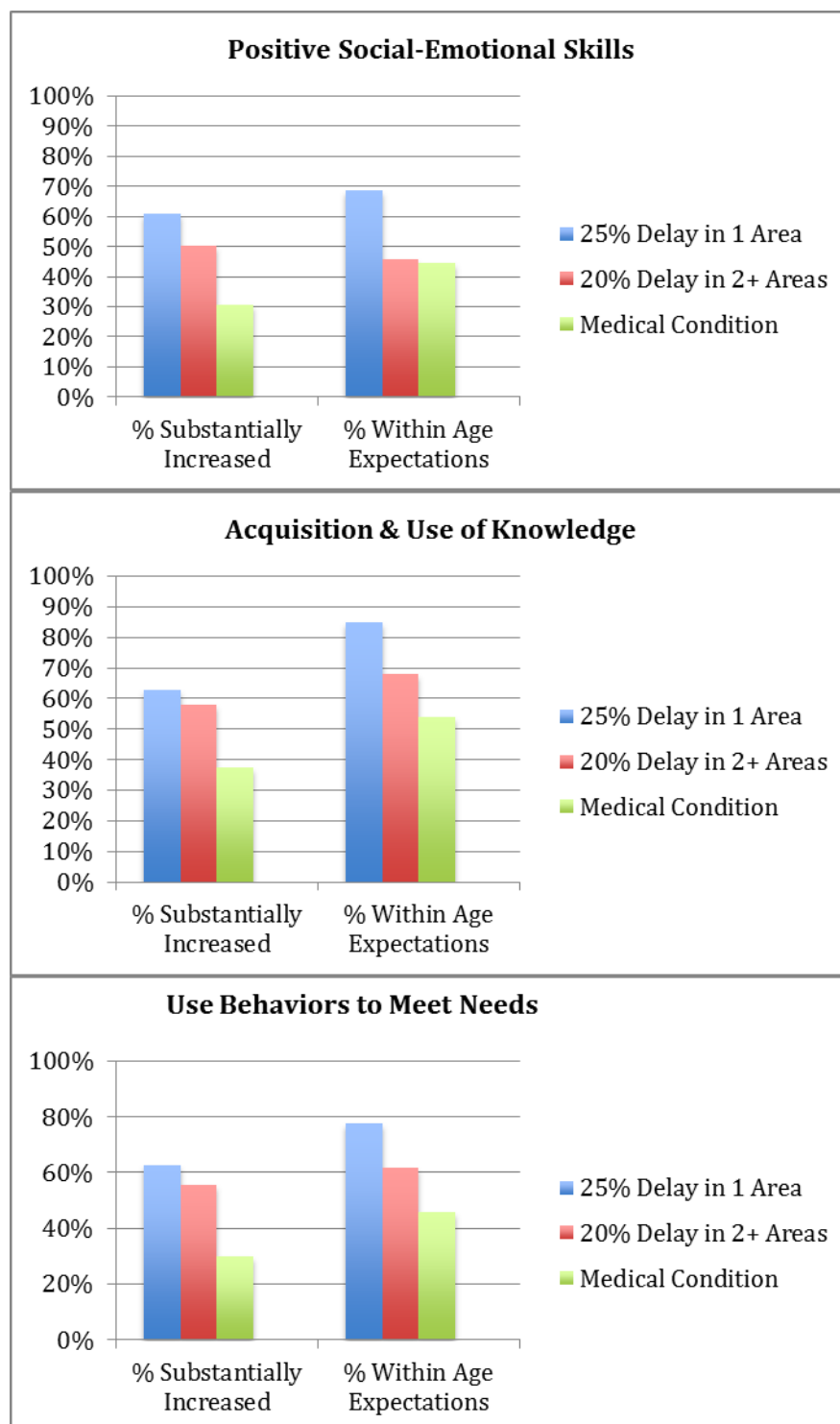
Additional Analyses for Child Outcomes

An additional series of analyses with the child outcome data were conducted to determine if there were any differences among groups of children based on the following factors: child's eligibility status, child's ethnicity, family income, and geographic area. Child outcome measures were the percentage of children who substantially increased their rate of growth by the time they turned 3 years of age or exited the program; and the percentage of children who were functioning within age expectations by the time they turned 3 years of age or exited the program. A series of charts are presented below depicting these differences.

Part C State Annual Performance Report (APR) for FFY2011

Were there differences in child outcomes among the major eligibility categories?

Figure 1
Differences in Child Outcomes by Eligibility Status



Analyses were conducted to determine any differences among the three groups of children who are eligible for early intervention services (see Figure 1).

- Have an established physical or medical condition
- Experience a developmental delay of 25% or greater in at least one area of development
- Experience a developmental delay of 20% or greater in at least two areas of development. The results presented in the Figure 1 indicate that a greater percentage of children diagnosed with a 25% delay experienced positive outcomes across both measures and all three outcome measures than children in the other two eligibility categories. Proportionally fewer children with established medical conditions demonstrated positive outcomes.

Part C State Annual Performance Report (APR) for FFY2011

Were there differences in child outcomes among the major ethnicity groups?

Figure 2

Differences in Child Outcomes by Ethnicity

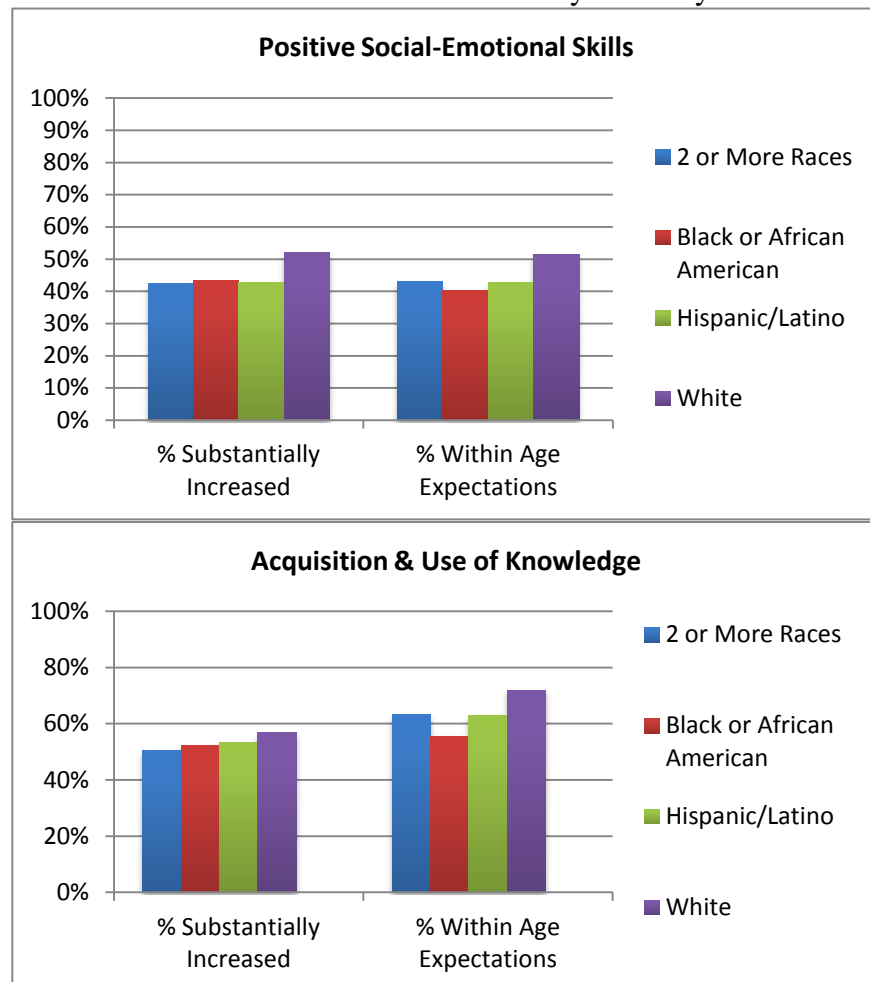


Figure 2 highlights differences among four major ethnic groups in Indiana. A greater percentage of children who are White typically experienced both measures associated with the first two outcomes, Positive Social-Emotional Skills and the Acquisition and Use of Knowledge and Skills. Approximately 9-16% more white children exited First Steps within age expectations as compared with the children from the other three

groups.

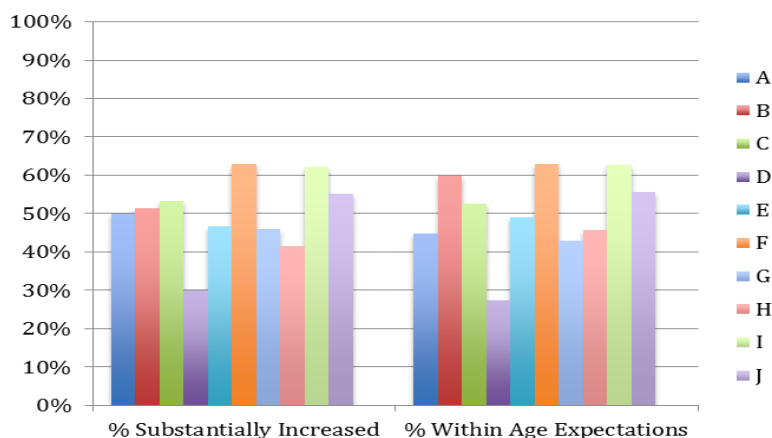
A slightly greater percentage of children who are Black or African American and children who are Hispanic/Latino, substantially increased their rate of growth for the Outcome, Use of Appropriate Behaviors to Meet Their Needs, than children who are white or multi-racial.

Part C State Annual Performance Report (APR) for FFY2011

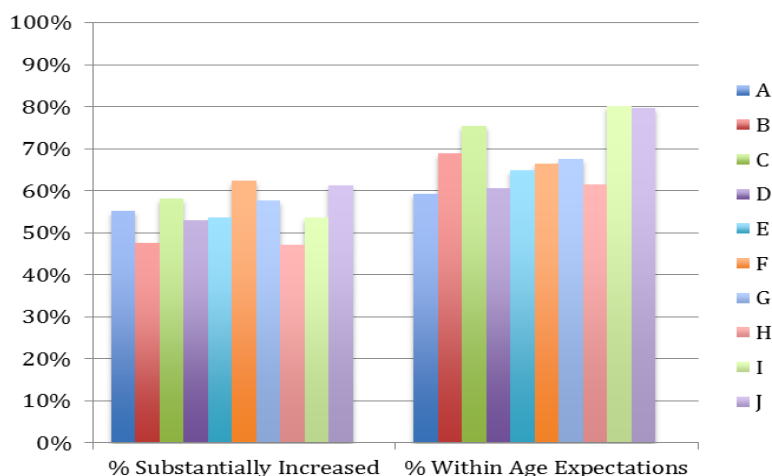
Figure 3

Differences in Child Outcomes by Geographic Area

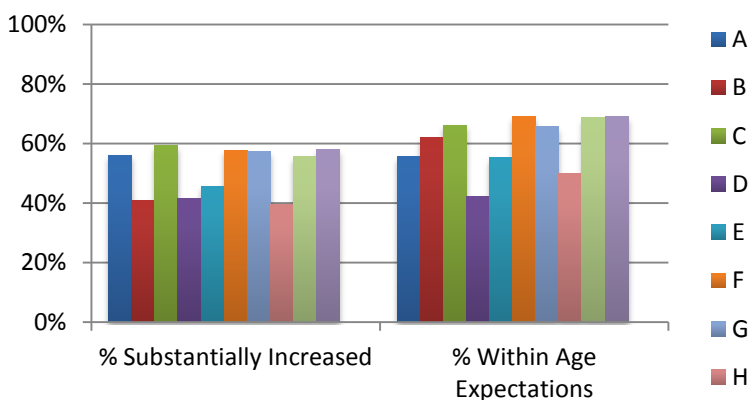
Positive Social-Emotional Skills



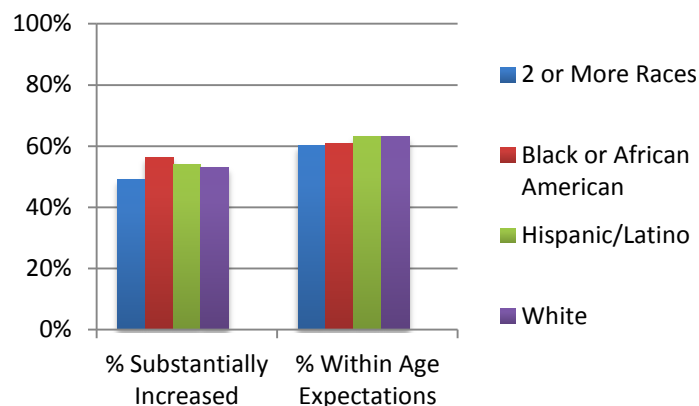
Acquisition & Use of Knowledge



Use Behaviors to Meet Needs



Use Behaviors to Meet Needs



Where there differences in child outcomes in major regions of the state?

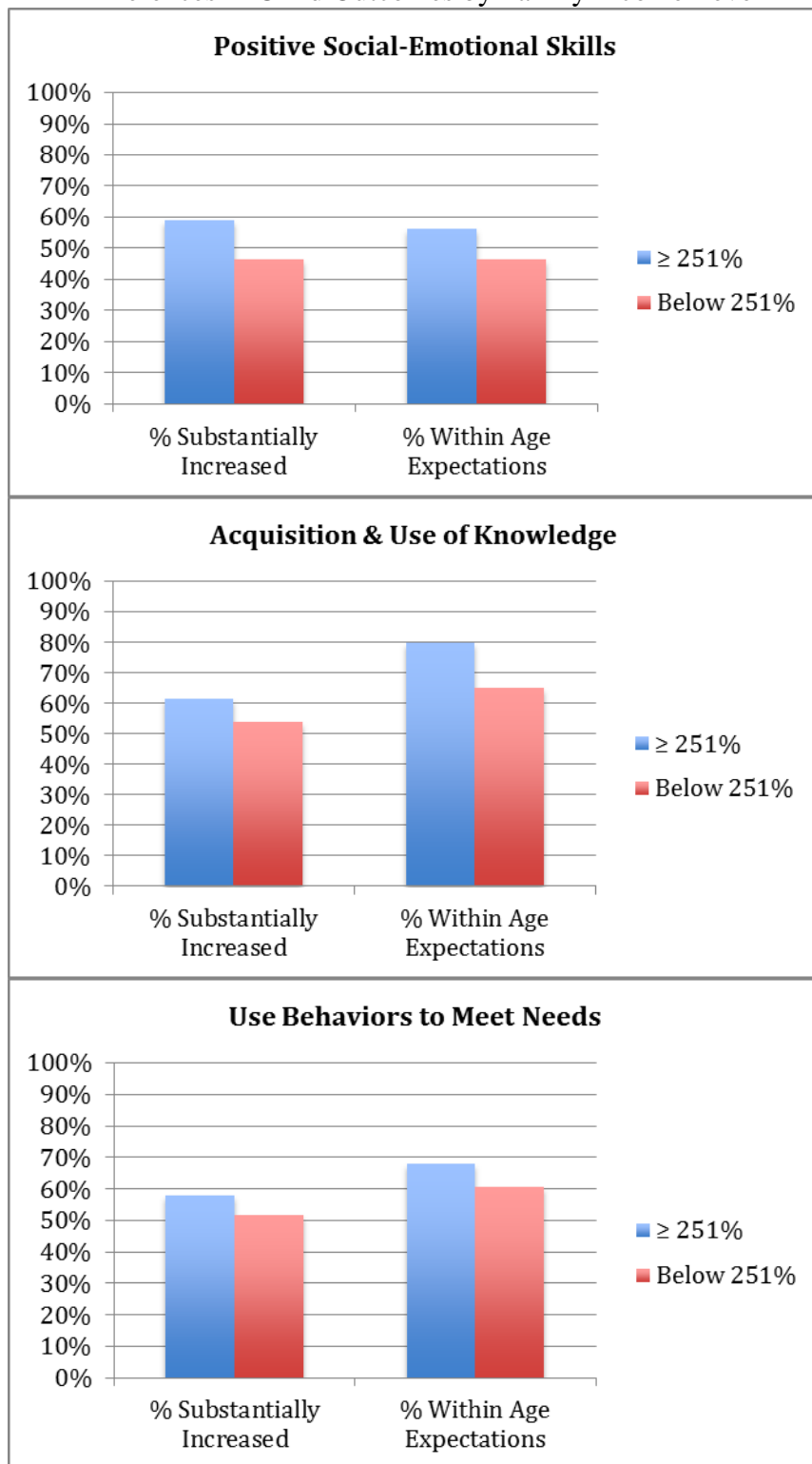
Indiana's First Steps program is organized into 10 regional units or Clusters that are managed by five different agencies. Each Cluster provides core early intervention services, including intake and ongoing service coordination. They in turn work with provider agencies to implement the children and family IFSPs. The number of children served within each Cluster varies widely, with Cluster G serving the highest number of children included in this report (N=2087) and Cluster F serving the fewest children (N=232). Figure 3 highlights a good deal of variation among the Clusters. Typically, proportionally fewer children in Clusters D and H experienced positive gains as compared with the other 8 Clusters. For Positive Social-Emotional Skills, only 27.4% of children in Cluster D and 45.9% of children in Cluster H exited First Steps within age expectations; whereas 60-63% of children in Clusters B, F, and J exited within age expectations—a 15-30% difference.

Part C State Annual Performance Report (APR) for FFY2011

Were there differences in child outcomes between Family Income Levels?

Figure 4

Differences in Child Outcomes by Family Income Level



Indiana's First Steps program collects income data from all families who wish to receive early intervention services. This information is used to determine each family's cost participation. Families with incomes less than 251% of the federal poverty guideline can receive early intervention services at no charge (N=4471). Families who have an income greater than or equal to 251% are charged a copayment fee for each service outlined in the IFSP (N=1671).

Figure 4 highlights differences between two family income groups. A greater percentage of children living in families at or above the 251% rate typically experienced success across all measures outcomes.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;
- B. Effectively communicate their children's needs; and
- C. Help their children develop and learn.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

- A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

FFY	Measurable and Rigorous Target
2010 – 2012	<ul style="list-style-type: none"> A. 99% of respondent families participating in Part C who reported that early intervention services have helped the family know their rights. B. 99% of respondent families participating in Part C who reported that early intervention services have helped the family effectively communicate their children's needs. C. 97% of respondent families participating in Part C who reported that early intervention services have helped the family help their children develop and learn.

Actual Target Data for FFY 2011:

Target Data and Actual Target Data	FFY 2010 % of families	FFY 2011 % of families
A. Know their rights	96.1% (4536/4720)	95.1% (3170/3333)
B. Effectively communicate their children's needs	98.9% (4667/4720)	95.3% (3176/3333)
C. Help their children develop and learn	95.8% (4524/4720)	93.8% (3126/3333)

Part C State Annual Performance Report (APR) for FFY2011

Service Coordinators throughout the state are expected to request all families exiting the First Steps system to complete an exit survey that is based on the questions/form provided by the ECO Center. These requests are made up to 3 months prior to the child and family's exit from First Steps. In FFY2011, the family survey was edited and the revised survey was not implemented until August/September of 2011. Therefore, 3,333 families completed the new survey. This represents 53.9% of all families (N=6,185) who exited First Steps and were in the program for a minimum of 6 months. The remaining 45.6% of families not included in this sample include families who partially completed the new survey (14.6%, N= 905), completed the old survey (7.9%, N=490), could not be reached (12.2%, N=757), families who declined (6.3%, N=388), and families who did not complete the survey and for which no reason was given by the service coordinator (5.0%, N=312).

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2011:

Ongoing improvement activities to ensure the accuracy and completeness of the family survey data include the following:

- Streamlining the Family Survey to make it easier for families and service coordinators to complete
- Providing monthly data to the 10 regions responsible for collecting and entering the family survey data
- Providing individual feedback and technical assistance to improve the sample return rate.
- Meeting in February of 2012 with service coordinator supervisors from throughout the state to explain the analyses of family surveys, the importance of encouraging families to complete the survey honestly, and the importance of increasing the percentage of families who complete the survey. This meeting resulted in a 20-25% increase in the number of families completing the family survey.

There were decreases of 1-2.5% in the percentage of families reporting that the 3 family outcomes were met. The state will continue to review and monitor result. Training for Service Coordinators and provider will continue, which emphasize the importance of family involvement and education.

Additional Analyses for Family Outcomes.

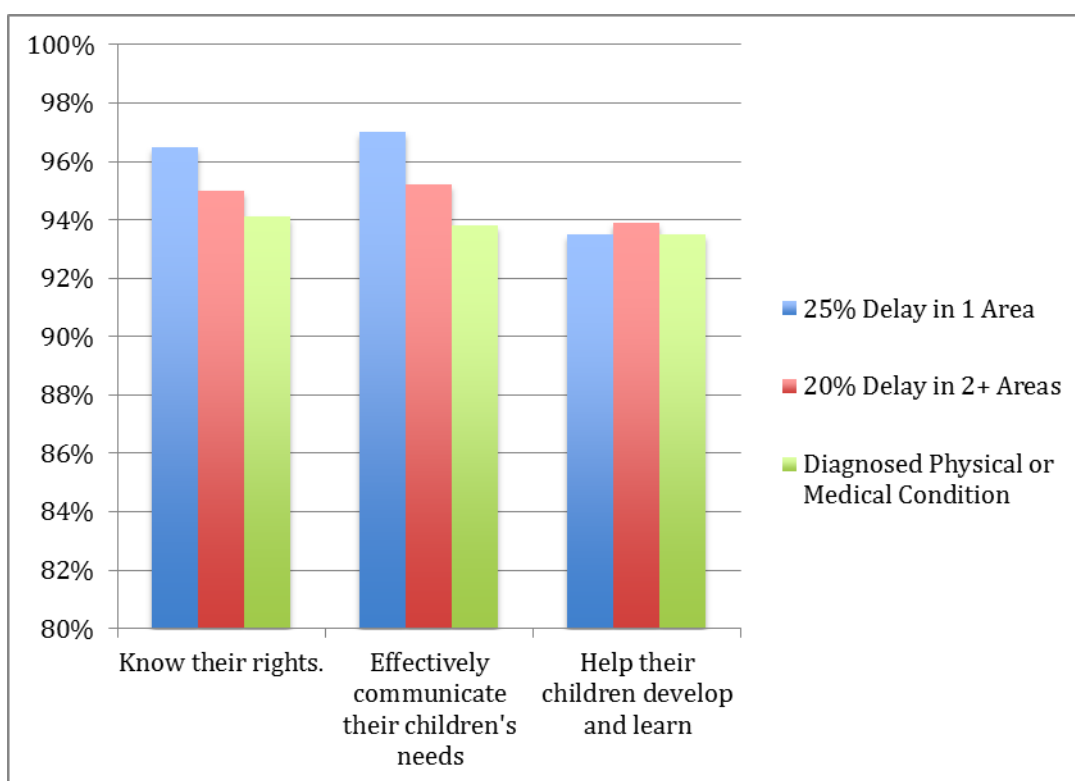
An additional series of analyses with the family outcome data were conducted to determine if there were any differences among groups of children based on the following factors: child's eligibility status, child's ethnicity, geographic area, and family income level. Family outcome measures were the percentage of families who reported that early intervention services have helped the family know their rights, effectively communicated their children's needs, and helped their children develop and learn.

Were there differences in family outcomes among the major eligibility categories?

Part C State Annual Performance Report (APR) for FFY2011

Analyses were conducted to determine any differences among the three eligibility groups, and the results are presented in Figure 5 for all three family outcomes. Differences among the three eligibility groups were minimal for all three outcomes (<3% difference).

Figure 5
Differences in Family Outcomes by Eligibility Status



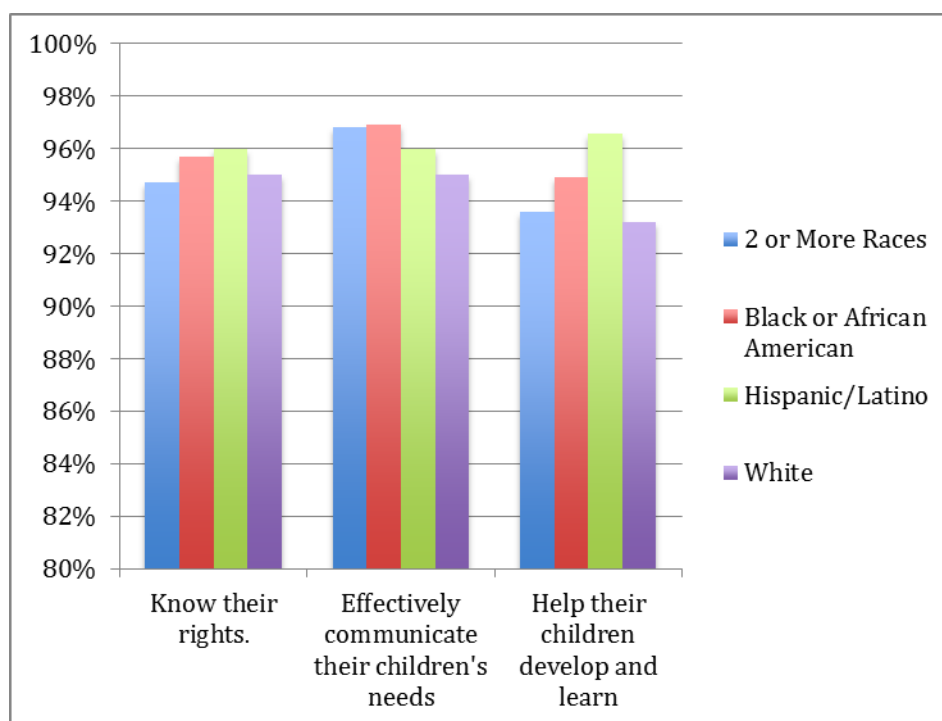
Part C State Annual Performance Report (APR) for FFY2011

Were there differences in family outcomes among the major ethnicity groups?

Figure 6 highlights differences among four major ethnic groups in Indiana for the three family outcomes.

Again, differences among child ethnicity and family outcomes are minimal ($\leq 3\%$); with the greatest difference observed between families of Hispanic/Latino children (96.6%) and families of White children (93.2%).

Figure 6
Differences in Family Outcomes by Ethnicity

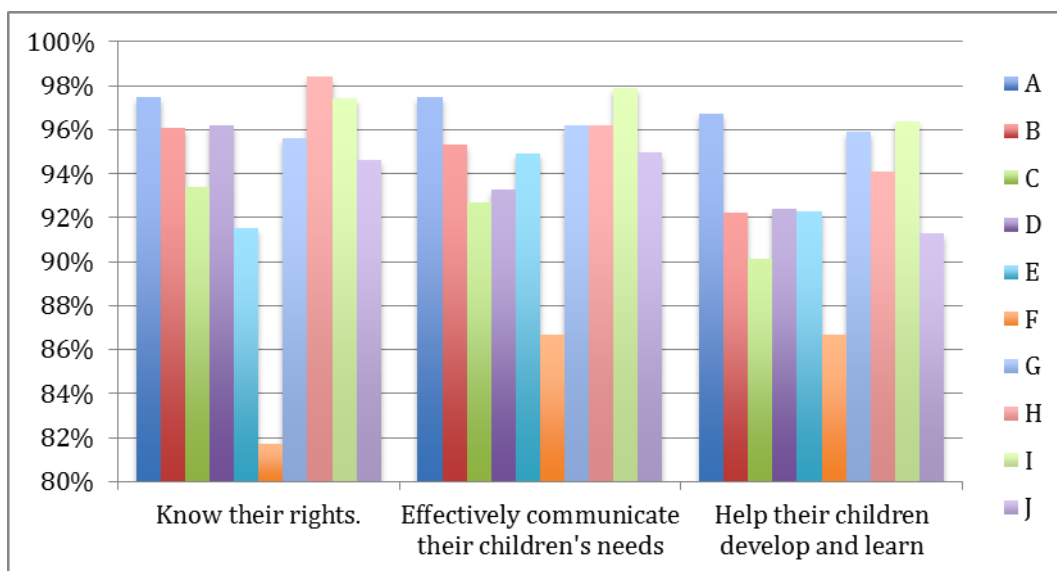


Part C State Annual Performance Report (APR) for FFY2011

Were there differences in child outcomes among the major regions of the state?

There were differences among the 10 regional Clusters in Indiana for all three family outcomes, with Cluster F reporting a smaller proportion of their families experience each of these outcomes.

Figure 7
Differences in Family Outcomes by Geographic Area

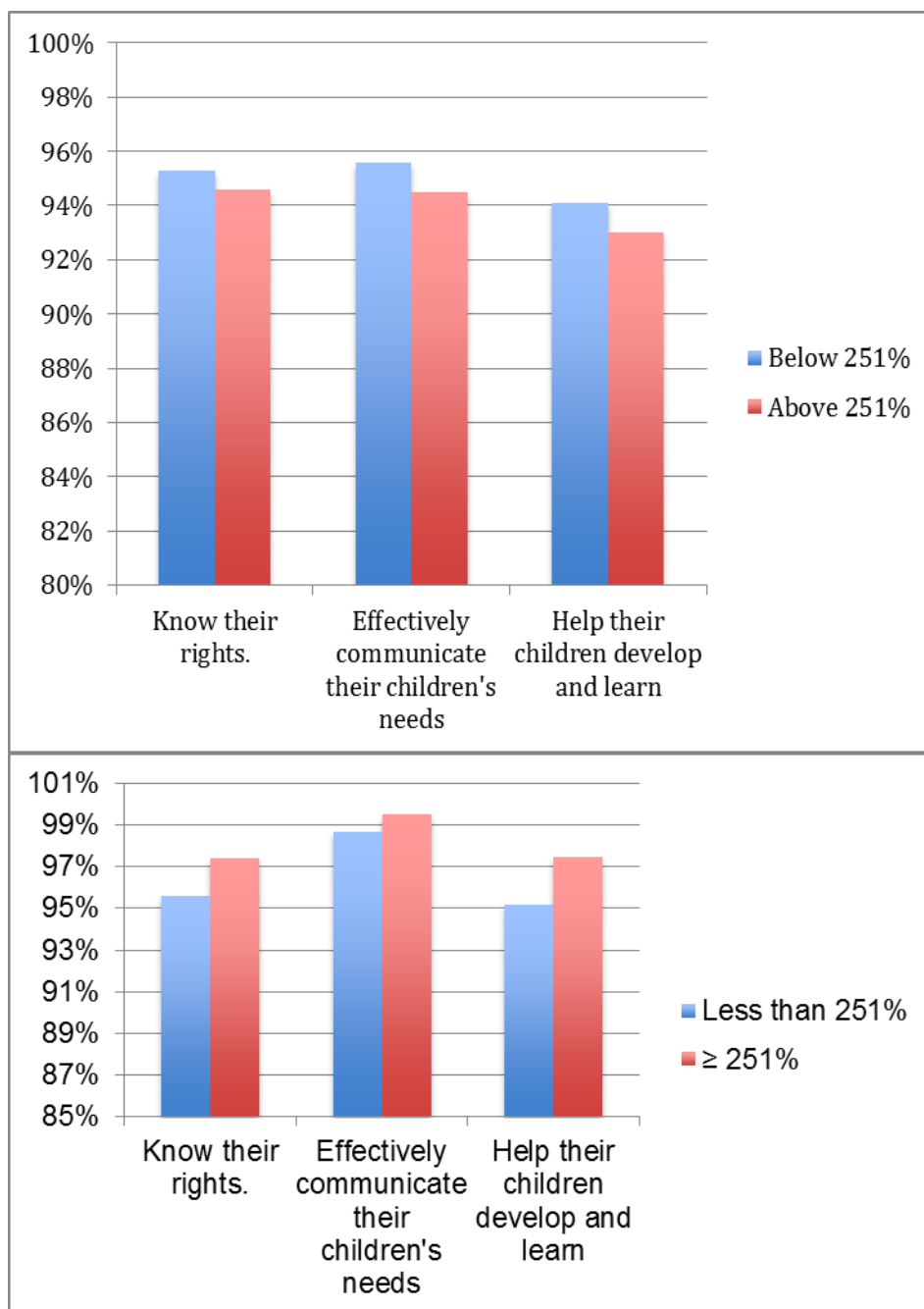


Part C State Annual Performance Report (APR) for FFY2011

Were there differences in child outcomes between Family Income Levels?

Differences were minimal between families with incomes less than 251% of the federal poverty and families who are above the 251% rate for all three outcomes.

Figure 8
Differences in Family Outcomes by Family Income Level



Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to national data.

(20 U.S.C. 1416(a) (3)(B) and 1442)

Measurement: Percent = [(# of infants and toddler birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2011	1.40% of infants and toddlers birth to 1 with IFSPs compared to national data.

Actual Target Data for 2011: Indiana served 1,065 infants, birth to 1 year in FFY2011. This represents 1.26% of the birth to one year population of 84,220

5.1: Actual Target Data for FFY2011:

STATE	CHILD COUNT 0-1	POPULATION 0-1	% OF POP. 0-1	CURRENT ELIGIBILITY
Indiana	1,065	84,220	1.26%	Moderate Eligibility Criteria
National	41,378	4,038,193	1.02%	

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY11: Indiana's 1.26% of infants birth to one year with an IFSP represents a decrease of .14% from the 1.4% reported in FFY10. While the number of eligible children birth to one year served remains less than the SPP target of 1.4%, Indiana remains well above the national percentage of 1.02%.

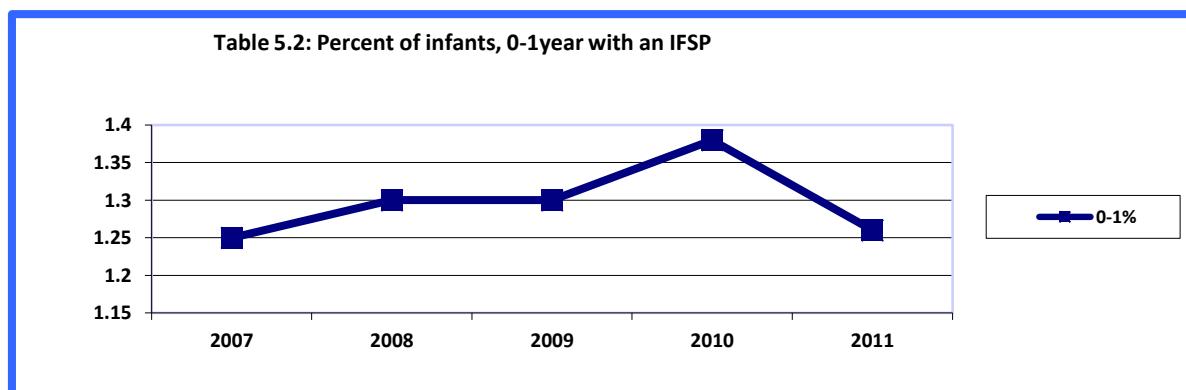
The number of infants served increased in FFY08. The number was consistent in FFY2009 at 1.3%. FFY10 has also saw an increase to 1.38%. In FY 2011 the population decreased .07% and the number of children served decreased by .12%. Indiana remains above the national percent by .24%.

The state has included child find activities as part of the Local Planning and Coordinating grant deliverables. Each LPCC reports its child find activities and referral numbers to the state as part of its grant outcomes. LPCC activities include the development and distribution of child development information, including information on the First Steps System to local hospitals, physician offices, child care centers and other community locations that serve families with young children. All LPCC's are required to maintain memorandums of agreement with local referral agencies.

The National 2011 child count data indicated both a decrease in population of children ages 0-2 and a decrease in the percentage of children 0-2 with IFSP's. Indiana appears to be following this trend with a decline in the total population of children ages 0-2 and the percentage of active IFSP's for this age group declining by .07%. While the state did not meet its target, the state does believe the data represents a

Part C State Annual Performance Report (APR) for FFY2011

significant number of children as the 0-3 percent of children served (3.54%) is significantly higher than the national average of 2.79%. *Idea Table C1-9*



Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines /

Resources for FFY11: The state has made significant gains in achieving the 1.4% target. The state will continue to review child find activities and the referral of infants to insure that IFSPs are completed by 12 months of age.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(# of infants and toddler birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2010	3% of infants and toddlers, birth to 3 will have IFSPs compared to national data.

Actual Target Data for FFY11: Indiana served 8,976 infants and toddlers, birth to 3 years of age in FFY11. This represents 3.54% of the birth to three years population of 253,449. *Idea Table C1-1*

Table 6.1: Actual Target Data for FFY2011:

STATE	CHILD COUNT 0-2	POPULATION 0-2	% OF POP. 0-2	CURRENT ELIGIBILITY CRITERIA
Indiana	8, 976	253,449	3.54%	Moderate
National	331,636*	12,066,342*	2.75%	

*Does not include Puerto Rico

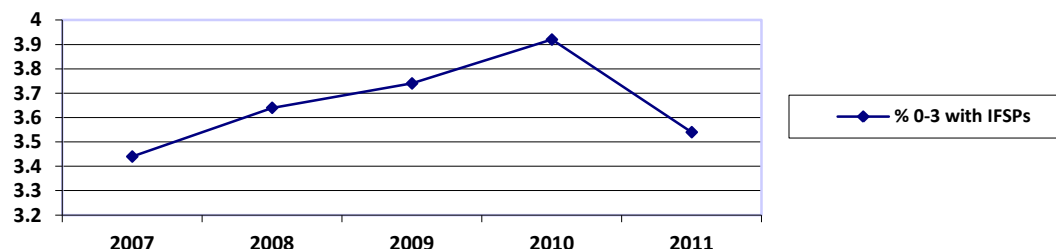
Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY10: Indiana continues to serve a high percentage of children birth through two years when compared to national data. Indiana's 3.54% is above the state's proposed target of 3% and the national average of 2.75%.

In 2006, Indiana's eligibility rules were revised through state legislation and an amendment to the state's Part C application. The change in the state's eligibility rules eliminated the biological risk category and raised eligibility by developmental delay from a delay 20% and/or -1.5SD to 25% and/or -2SD in one developmental domain and from 15% and/or -1SD to 20% and/or -1.5SD in two or more developmental domains. The state anticipated that child count numbers for eligible children birth through two years with an IFSP would decrease in subsequent years. Table 6.2 illustrates a decline in children with an IFSP from FFY2005 through FFY2007 due to changes made to the state's eligibility criteria.

The Clusters continue to do child find activities as described in Indicator Number 5. Clusters target physician groups. The state has included child find activities as part of the Local Planning and Coordinating grant deliverables. Each LPCC reports its child find activities and referral numbers to the state as part of its grant outcomes. LPCC activities include the development and distribution of child development information, including information on the First Steps System to local hospitals, physician offices, NICU, child care centers and other community locations that serve families with young children. All LPCCs are required to maintain memorandums of agreement with local referral agencies.

Part C State Annual Performance Report (APR) for FFY2011

Table 6.2: Percent of infants 0-3 years with an IFSP



Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY11: Indiana has exceeded the target for this indicator. No changes are proposed to the target, improvement activities or timelines.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline) divided by the (# of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted)] times 100.

Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.

FFY	Measurable and Rigorous Target
2011	100% of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline

Actual Target Data for FFY 2011: 99.5% (9755/9804) of eligible infants and toddlers with IFSPs for whom an evaluation, assessment and an initial IFSP were conducted within Part C's 45 day timeline.

Infants Evaluated and Assessed and provided an Initial IFSP meeting Within Part C's 45-day timeline:

a. Number of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline	9755
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted	9804
Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline (Percent = [(a) divided by (b)] times 100)	99.5%

Part C State Annual Performance Report (APR) for FFY2011

Table 7.1 FFY11: Initial IFSPs Written within 45 days of Referral				
	Total IFSPs	% ≤ 45 days, including EFC	# ≥ 45 days	Number of days until IFSP was developed
State Total	9804	99.5% (9755/9804)	35	Range- 46-76 days
Cluster A	1093	99.7% (1090/1093)	3	49,46,51
Cluster B	849	99.7% (847/849)	2	51,48
Cluster C	700	99.1%(694/700)	6	46,47,62,51,55,72
Cluster D	529	99.8% (528/529)	1	46
Cluster E	623	99.7% (621/623)	2	,4751
Cluster F	439	98.2% (431/439)	8	46,46,48,52,67,55,49,51
Cluster G	3091	99.6% (3079/3091)	12	46,46,46,46,48,49,52,47,51,48,51,49
Cluster H	552	99.8% (551/552)	1	57
Cluster I	1065	99.3% (1058/1065)	7	49,50,57,64
Cluster J	863	98.9% (854/863)	9	47,59,76, 46, 51, 57, 61, 57, 48

**The 6 highlighted clusters were issued a state finding, based on the annual QR visit.*

Data Source and Measurement Considerations: Indiana has a centralized data system. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. An Intake Service Coordinator contacts the family within two business days to set an appointment to meet with the family to explain the program, family rights and procedural safeguards and to obtain consent to gather information and to proceed with the evaluation/assessment. Once the family has consented to proceed, the intake coordinator assists obtaining the physician health summary and in the scheduling of the evaluation/assessment within ten working days of the intake appointment. In Indiana, every child proceeding to evaluation/assessment receives a comprehensive developmental assessment by a multidisciplinary team, representing at least two professional disciplines. In addition to information received from the medical home and the multidisciplinary team, every child is assessed using the AEPS®. Additional observations and tests are performed as needed and appropriate.

Once the Eligibility Determination Team (EDT) assessment is completed, the information is sent to the intake coordinator who contacts the family. Based on evaluation and assessment results and recommendations of the ED team, the family makes a choice to proceed to an eligibility meeting or to accept the results that their child does not meet Indiana's eligibility criteria. If the family chooses to proceed, the eligibility meeting is scheduled. Once the team determines that the child is eligible, the IFSP can be developed. If the child does not meet eligibility criteria or the family chooses not to proceed to the eligibility meeting, they are provided with local resource information and are informed that they will receive a follow up call within the next three to six months to determine if the family has continued concerns about their child's development.

After the IFSP is written, the SPOE Cluster enters the child's date of intake, eligibility meeting and IFSP meeting date into the SPOE database. If the child is not found eligible or the family chooses not to participate, the appropriate termination code is entered.

The local SPOE Cluster generates a monthly report listing every eligible child with an IFSP meeting date that exceeds the 45-day timeline. Each Cluster SPOE must submit a "Delay of IFSP" form for every IFSP

Part C State Annual Performance Report (APR) for FFY2011

that exceeds the 45-day timeline. This form provides information on why the initial 45 day timeline was not met. The parent signs this form indicating that they have been informed of their rights and procedural safeguards and understand that the IFSP exceeded the 45-day timeline and they are in agreement with the delay of IFSP reason stated on the form. Supporting documentation as to the circumstances of the delay must also be included in the Service Coordinator log notes. The Delay of IFSP form and the log notes become part of the early intervention record.

In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (ex. family medical emergency, parent/child illness, family relocation or custody change, etc.) or the result of a systemic issue is made by the state and not the SPOE Cluster. The data analysis includes the number of initial IFSPs exceeding 45-day timeline divided by the total number of eligible infants and toddler evaluated and assessed for whom an IFSP meeting was required and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to insure that the child/family did subsequently have an IFSP developed.

While Indiana monitors timelines for all IFSPs, as represented in Table 7.1, findings of noncompliance are only issued during the annual quality review visit, unless the state identifies a systemic error within a subsequent quarter. During the FFY2011, six clusters were issued a finding on noncompliance during the annual QR visit. While the remaining four clusters did have subsequent IFSPs exceed the 45 day timeline later in the year, the state did not issue a finding of non compliance, as there were no systemic issues identified for any of the clusters. The State did however continue to monitor the progress of each cluster.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2011: While, Indiana has not demonstrated compliance in the percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline, it remained near 100%. The state has implemented the initiatives from FFY09 (listed below) and will continue to strive for 100% compliance.

1. Review of factors contributing to delays – Each regional Cluster self-monitors the 45-day timeline through SPOE data reports on a monthly basis. SPOEs monitor key dates from referral to intake, referral to evaluation and referral to IFSP. This information allows the SPOEs to more specifically identify where delays are occurring in the process. This is an ongoing activity; there have been no significant changes in FFY2011 to the SPOE policies or procedures to monitor 45 day timeline.
2. To monitor each Cluster's performance in conducting initial IFSP meetings within 45 days of referral, the SPOEs must provide written documentation (Delay of IFSP form) to explain circumstances under which any initial IFSP exceeds 45 days to the Quality Review contractor on a quarterly basis. These reports are used to identify trends and Cluster training needs.
3. Any Cluster not demonstrating 100% compliance is required to develop and implement corrective action plan to achieve full compliance as soon as possible, but no later than one year from identification. Clusters provide quarterly progress reports. Data used in the quarterly progress reports are validated by the QR contractors, before any state issued letters of compliance are written. This is an ongoing activity - Clusters are required to develop improvement plans and to submit quarterly progress reports. Once a Cluster has demonstrated compliance for a period of one quarter, the state verifies the correction and issues a letter of compliance.

Part C State Annual Performance Report (APR) for FFY2011

4. Performance based standards - A performance based standard is written into the SPOE Request for Funding (RFF) contracts requiring each local SPOE office to ensure initial IFSPs are completed within 45 days. SPOE funding was linked to the achievement of this standard and is reviewed semi-annually. SPOEs not meeting the 100% target may not be eligible for incentive funding of up to 1% annually. In FFY11, all SPOEs received incentive funding for substantial compliance.

The State publishes regional and statewide performance information on the 45-day timeline compliance at (<http://www.utsprokids.org/firststepsinfo.asp>).

Table 7.3: Subsequent Correction of Non-Compliance for FFY11

During FFY 2011, 6 clusters (A, B, E, F, I and J) were issued finding for not meeting the 45 day timeline requirement. While findings are based on data from the annual quality review site visit, the State monitors data throughout the year for all clusters as referenced in Table 7.1.

Table 7.3 FFY11: Findings for Initial IFSPs Written within 45 days of Referral				
	Verification date	% ≤ 45 days, including EFC	# ≥ 45 days	Number of days until IFSP was developed
Cluster A	1-5-12	99.6% (248/249)	1	49,
Cluster B	3-31-12	99.4% (164/165)	1	51
Cluster E	1-5-12	99.3% (144/145)	1	47
Cluster F	3-31-12	95.6% (88/92)	4	46,46,49,51
Cluster I	6-30-12	99.8% (253/256)	3	49,50,57
Cluster J		99% (208/210)	2	47,59

Five of the 6 clusters demonstrated correction within the 1 year period. Cluster J was not able to demonstrate compliance within the year, although did meet a high level of compliance and did not demonstrate system issues. The State will continue to provide technical assistance as needed, and monitor Cluster J's performance to ensure compliance with this indicator. With the exception of Cluster J, there were no Subsequent corrections needed for all other Clusters as they were able to demonstrate compliance and the state verified within one year.

Part C State Annual Performance Report (APR) for FFY2011

Correction of FFY 2010 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2010 for this indicator: 99.8% (8310/8329). As reported in the FFY 2010 APR, there were 19 IFSPs out of the 8329 written that did not meet the 45 day timeline, resulting in eight programs issued letters of noncompliance. All 8 clusters corrected their non compliance within the year period. In addition, 19 IFSPs were written, albeit beyond the 45 days. As included in the FFY 2010 APR, the range of IFSP dates spanned from 46 to 64 days (A-46, C-49, 57, D-49, E-54, 46, G-52, 58, 47, 48, 56, 64, 48, H-47 I-52, 51, J-48, 49, 47).

1. Number of findings of noncompliance the State made during FFY 2010 (the period from July 1, 2010, through June 30, 2011)	8
2. Number of FFY 2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	8
3. Number of FFY 2010 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: N/A Eight clusters had findings issued for Indicator 7 (A,C,D,E,G,H I and J). All eight clusters were able to demonstrate timely correction, within one year.

Verification of Correction: Verification of compliance was completed through the onsite visits, which include file and data reviews. **Corrections were verified at both the system and child level. All children received their IFSP, albeit beyond the 45 days.**

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2010: Indiana has a centralized data system and verification is done through system reports and Quality Review Monitoring at the annual on-site visit. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. A quarterly report is run to capture all referrals received with dates for Intake and IFSP meeting. In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (ex. family medical emergency, parent/child illness, family relocation or custody change, etc.) or the result of a systemic issue is made by the state and not the Cluster SPOE. The data analysis includes the number of initial IFSPs exceeding 45-day timeline divided by the total number of eligible infants and toddler evaluated and assessed for whom an IFSP meeting was required, and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to determine if the child/family subsequently had an IFSP developed. Indiana has verified that

Part C State Annual Performance Report (APR) for FFY2011

the EIS programs with noncompliance reflected in the FFY 2010 data is correctly implementing 34 CFR §§303.321(e)(2), 303.322(e)(1), and 303.342(a) (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system, consistent with OSEP Memo 09-02.

Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable):

Not Applicable

1. Number of remaining FFY 2009 findings of noncompliance noted in OSEP's June 2011, FFY 2010 APR response table for this indicator	0
2. Number of remaining FFY 2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Remaining FFY 2009 findings:

Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: *Not Applicable*

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable):

Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): *None Requested*

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The 100% target for this indicator will continue through FFY2012. While Indiana did not meet the 100% target for this indicator, the state continues to be consistently above 99.5% for indicator for the past five years. The state has reviewed its improvement activities and no revisions to the SPP are needed. Evaluation teams (EDTs) were moved under the supervision of the Cluster SPOE effective January 1, 2011.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8A: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:

A IFSPs with transition steps and services

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of children exiting Part C who have an IFSP with transition steps and services) divided by the (# of children exiting Part C)] times 100.

FFY	Measurable and Rigorous Target
FFY11	A. 100% of eligible children will have IFSPs with transition steps and services.

Actual Target Data for FFY 2011:

99.9% (2289/2291) of eligible children had IFSPs with transition steps and services

In FFY2011, the state demonstrated a very high level of compliance for meeting the target for Indicator 8A of 100% of IFSPs with transition steps and services. Indiana utilizes a standard IFSP form that includes a section on transition steps, services/strategies, and timelines. This page is completed during the initial IFSP meeting and revised as needed at the six month review and annual IFSP.

Indiana monitors each EIS program (Cluster) annually. For FFY2011, Indiana reviewed a sample of IFSPs (initial and annual) written between July 1, 2011 and June 30, 2012 to determine if the IFSP had transition steps and services written in the plan. The sampling unit for this indicator included all children with an IFSP written during FFY2011, (n=20,056). A minimum sample size of 643 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also included at least 8 files from every service coordinator in the state, thus insuring that all geographic areas of the state were sampled. The data collection strategy involved samples from each of the ten regional Clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Part C State Annual Performance Report (APR) for FFY2011

Sample data was derived from early intervention record reviews performed by the Quality Review contractors and from state verified, early intervention record reviews. These reviews were completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records were sent to each Cluster. Reviewers noted if the IFSP had a completed transition planning page that included transition outcomes, dates and strategies/services.

Children Exiting Part C who Received Timely Transition Planning:

a. Number of children exiting Part C who have an IFSP with transition steps and services	2289
b. Number of children exiting Part C	2291
Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Percent = [(a) divided by (b)] times 100)	99.9%

Table 8A.1: FFY11 – IFSPs with Transition Steps & Services		
	# of IFSPs reviewed	% of IFSPs reviewed with documented transition steps & services
State	2014	99.9% (2289/2291)
Cluster A	219	100% (219/219)
Cluster B	32	100% (216/216)
Cluster C	203	100% (203/203)
Cluster D	181	99.4% (180/181)
Cluster E	175	100% (175/175)
Cluster F	127	100% (127/127)
Cluster G	588	99.8% (587/588)
Cluster H	167	100% (167/167)
Cluster I	162	100% (162/162)
Cluster J	253	100% (253/253)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2011: Indiana has maintained a very high level of compliance with the number of children who received timely transition planning to support transition to preschool and other appropriate services.

Subsequent compliance documentation: Only two Clusters were found to be out of compliance for documentation of IFSP transition steps and services in FFY2011 Clusters D and G. Cluster D failed to document transition steps and services in 1 of the 181 EI records reviewed. The SPOEs and lead agency reviewed the cause of the error. No system issues were identified. The state also verified their findings on 8-16-12 and 8-22-12 which indicated 100% compliance with Transition Steps and Services.

Table 8A.2: Subsequent	# of IFSPs	% of IFSPs reviewed with documented transition steps & services	Date of verification
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Part C State Annual Performance Report (APR) for FFY2011

correction - IFSPs with Transition Steps & Services	reviewed		
Cluster D	53	100% (53/53)	8/16/12
Cluster G	175	100% (175/175)	8/22/12

Correction of FFY 2010 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2010 for this indicator: 99.9%

1. Number of findings of noncompliance the State made during FFY 2010 (the period from July 1, 2010, through June 30, 2011)	1
2. Number of FFY 2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2010 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: *Not Applicable***Verification of Correction of FFY 2010 noncompliance (either timely or subsequent):**

In FFY10, the state verified correction of non-compliance for Cluster B through its annual on-site review which occurred on October 12, 2011. In that review 100% (95/95) files reviewed had documented transition steps and services.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2010: For all children who remained in the jurisdiction of the EIS, the state verified subsequent correction of the non-compliance for Indicator 8A, consistent with OSEP Memo 09-02.

Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable): *Not Applicable*

1. Number of remaining FFY 2009 findings of noncompliance noted in OSEP's June	0
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Part C State Annual Performance Report (APR) for FFY2011

2010, FFY 2009 APR response table for this indicator	
2. Number of remaining FFY 2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2009 findings: Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2008 or Earlier (if applicable):
Not applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None Requested

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must be 100%. Indiana has reviewed its SPP and no changes to the SPP improvement activities and timelines were made

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8B: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:

A Notification to LEA, if child potentially eligible for Part B;

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B)] times 100.

FFY	Measurable and Rigorous Target
FF2011	100% of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred

Actual Target Data for FFY 2011:

100% (2767/2767) of children exiting Part C and potentially eligible for Part B had evidence of notification to the LEA.

Since 2005, Indiana has notified the appropriate LEA utilizing an electronic data transfer of child identifying information (name, date of birth, address) from the SPOE to the LEA for children who met the date of birth cut-off date. The electronic transfer is sent semi-annually in April and October. Indiana did not adopt a written notice or opt-out policy.

Children Exiting Part C who Received Timely Transition Planning (Notification to LEA):

a. Number of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred	2767
b. Number of children exiting Part C who were potentially eligible for Part B	2767
Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Notification to LEA) (Percent = [(a) divided by (b)] times 100)	100%

Part C State Annual Performance Report (APR) for FFY2011

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2011: Indiana provides child name, date of birth, and parent contact information to the appropriate school district (LEA) based on the address of the child's residence, semi-annually in October and April. This procedure has enabled Indiana to provide accurate notification the LEA of children potentially eligible for Part B services. Additionally, service coordinators with parental consent; invite the LEA and other community partners (Head Start and local preschool representatives) to the transition meeting. These efforts are increasing LEA and other community partner attendance at the Part C Transition meetings.

Correction of FFY 2010 Findings of Noncompliance (if State reported less than 100% compliance):
Level of compliance (actual target data) State reported for FFY 2008 for this indicator: **100%**

1. Number of findings of noncompliance the State made during FFY 2010 (the period from July 1, 2010, through June 30, 2011)	0
2. Number of FFY 2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	0
3. Number of FFY 2010 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected: Not Applicable

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: Not Applicable

Verification of Correction of FFY 2010 noncompliance (either timely or subsequent): Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2010: Not Applicable

Correction of Remaining FFY 2010 Findings of Noncompliance (if applicable): Not Applicable

1. Number of remaining FFY 2010 findings of noncompliance noted in OSEP's June 2011, FFY 2010 APR response table for this indicator	0
2. Number of remaining FFY 2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2009 findings: Not Applicable

Part C State Annual Performance Report (APR) for FFY2011

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2008 or Earlier (if applicable):
Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable):

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must all be 100%. Indiana has reviewed the SPP and no revisions to the targets/activities or timelines are needed.

Part C State Annual Performance Report (APR) for FFY2011

Part C State Annual Performance Report (APR) for FFY 2011

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8C: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:

C. Transition conference, if child potentially eligible for Part B.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B) divided by the (# of toddlers with disabilities exiting Part C who were potentially eligible for Part B)] times 100.

Account for untimely transition conferences, including reasons for delays.

FFY	Measurable and Rigorous Target
FFY2011	100% of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B.

Actual Target Data for FFY 2011:

99.6% (1080/1084) of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B.

Children Exiting Part C who Received Timely Transition Planning (Transition Conference):

a. Number of children exiting Part C and potentially eligible for Part B where the transition conference occurred	1080
b. Number of children exiting Part C who were potentially eligible for Part B	1084
c. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Transition Conference) (Percent = [(a) divided by (b)] times 100)	99.6%

Part C State Annual Performance Report (APR) for FFY2011

The data source for this indicator was the review of a sample of early intervention records of children who exited Part C in FFY2011. The review was conducted by the Quality Review – Focused Monitoring Team and through state verified, quarterly progress data provided by the Clusters for their Cluster Performance Plan progress reports. This review demonstrated that 99.6% of the sample reviewed (1081/1084) had evidence of a transition meeting, within 90 to 270 days of the child's third birthday. Indiana continues to maintain a high level of compliance for this indicator.

A list of randomly selected early intervention records was compiled for each of the 10 Cluster SPOEs. Each record pull list included a minimum of two records per Service Coordinator. The early intervention records used were reviewed to ensure that the sample was representative of all children exiting First Steps. The following procedure was utilized:

- The Sample Size was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The cumulative total of children served in the Part C program during FFY2011 was (n=20,056). A minimum sample size of 643 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The data collection strategy also included at least two records for every Service Coordinator in each of the ten regional Clusters to ensure obtaining records from all areas of the state and the Cluster region.

Table 8C.1: FFY11 - Timely Transition Meetings			
	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	Late Transition Meeting verification, if child remained in EI Program
State	1084	99.6% (1081/1084)	
Cluster A	106	100% (106/106)	
Cluster B	91	100% (91/91)	
Cluster C	97	98.9% (96/97)	One children exited program without formal transition meeting.
Cluster D	80	100% (80/80)	
Cluster E	77	98.7% (76/77)	One child exited program without formal transition meeting.
Cluster F	76	100% (76/76)	
Cluster G	275	100% (275/275)	
Cluster H	69	98.5% (68/69)	Service Coordination Oversight
Cluster I	111	100% (111/111)	
Cluster J	102	100% (102/102)	

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2011: Indiana has demonstrated 99.6% compliance with Indicator 8C. This a .2% increase over FY2010. Of the 1084, three records found out of compliance, two were due to children exiting the program without a formal meeting. One record was a service coordination oversight. All Clusters demonstrated high levels of compliance in excess of 98%.

Part C State Annual Performance Report (APR) for FFY2011

Subsequent compliance documentation: Clusters C, E and H were able to show subsequent compliance for Indicator 8C on their state verification visits on 10-13-12.

Table 8C.1: Subsequent Correction of Non-compliance for Timely Transition Meetings			Review Period and State Verification Date
	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	
Cluster C	25	100% (25/25)	10/13/12
Cluster E	30	100% (30/30)	10/13/12
Cluster H	26	100% (26/26)	10/13/12

Correction of FFY 2010 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2010 for this indicator: 99.4%

1. Number of findings of noncompliance the State made during FFY 2010 (the period from July 1, 2010, through June 30, 2011)	6
2. Number of FFY 2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	6
3. Number of FFY 2010 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: OSEP memorandum 09-02: As reported in the FFY10 APR, there were six clusters had findings issued for noncompliance. Of those 6, all corrected within a year period. Of the noncompliance, there were 8 individual children that did not have transition meetings within appropriate timelines. Of the eight instances, three children had transition meetings less than 90 days prior to their 3rd birthday. There were five incidents of noncompliance in which the children were no longer within the jurisdiction of the EIS program. Cluster corrections were documented through subsequent file reviews which demonstrated 100% compliance with all timely transition meetings. The non-compliance was corrected prior to the submission of the FFY10 APR. Since the non-compliance was corrected, no actions were taken. Indiana has verified that the EIS programs with noncompliance reflected in the FFY 2010 data the State reported for this indicator has conducted a transition conference,

Part C State Annual Performance Report (APR) for FFY2011

although late, for any child potentially eligible for Part B whose transition conference was not timely, unless the child is no longer within the jurisdiction of the EIS program, consistent with OSEP Memo 09-02

Subsequent compliance documentation: Not applicable, all Clusters demonstrated compliance within the year.

Verification of Correction of FFY 2010 noncompliance (either timely or subsequent): Compliance was verified through a review of EI records at the annual onsite focused monitoring review on November-December 2011. This on-site review consisted of a random selection of EI records, in which a review of the transition meeting packet documented all aspects of transition meeting, (LEA consents and notification, transition meeting written prior notice and transition meeting plans and minutes).

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2010: Verification was completed through onsite file reviews. Visits included the review of local policies and procedures, as well as correction at the child and system levels.

Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable): *Not Applicable*
The state verified correction of the three findings of non-compliance identified in FFY2008.

4. Number of remaining FFY 2009 findings of noncompliance noted in OSEP's June 2011, FFY 2010 APR response table for this indicator	0
5. Number of remaining FFY 2009 findings the State has verified as corrected	0
6. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2009 findings: Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2008 or Earlier (if applicable):
Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None Requested

Statement from the Response Table	State's Response
None	

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must all

Part C State Annual Performance Report (APR) for FFY2011

be 100%. Indiana has reviewed its SPP and no revisions to the targets, improvement activities and timeline were required.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.

(20 U.S.C. 1416 (a)(3)(B) and 1442)

Measurement:

Percent of noncompliance corrected within one year of identification:

- a. # of findings of noncompliance.
- b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

States are required to use the “Indicator C 9 Worksheet” to report data for this indicator (see Attachment A).

FFY	Measurable and Rigorous Target
FFY 2011	100% Percent of noncompliance corrected within one year of identification

Actual Target Data for FFY 2011:

96.6% (57/59) of noncompliance was corrected within one year of identification.

Describe the process for selecting EIS programs for Monitoring: Indiana has ten regional Clusters. Every Cluster undergoes on-site monitoring annually. For each finding of non-compliance, the lead agency verifies correction of the issue at both the individual child level as well as the Cluster/system level.

Indiana has a comprehensive general supervision system that includes the statewide data system, a statewide quality review-focused monitoring system, local quality review committees and an ongoing research initiative on program outcomes performed by the Indiana Institute on Disability and Community (IIDC) at Indiana University. A description of each component is provided below.

1. Indiana’s computerized data system was developed in 1994. A data file is created for every child referred to the First Steps system. Data for children found eligible include fields for child/family/provider information (date of birth, referral, intake, evaluation, IFSP, termination with reason; child demographic data; and provider information). Data for each Cluster System Point of Entry (SPOE) can be reviewed at any time by state and/or the local Cluster. The Cluster SPOEs

Part C State Annual Performance Report (APR) for FFY2011

can generate preset reports for use by their Local Planning and Coordinating Council (LPCC). State administrators can access all Cluster SPOE data and can generate preset and ad hoc reports. This data is used by the state as a source for ongoing desk audits of the system. The Central Reimbursement Office (CRO) data included child/family authorization and claims data.

2. The Data Warehouse (A state contracted entity that uses state provided data to develop 618 data and state profile reports) provides the state with county, Cluster SPOE and statewide data reports. These reports are used by the state and Cluster SPOEs to monitor trends over time. The profiles of the state and Cluster SPOEs are posted on the state website for public access. They can be viewed at <http://www.in.gov/fssa/ddrs/2812.htm>.
3. In 1998, Indiana initiated Peer Monitoring as a component of its general supervision system. Through technical assistance provided by NCSEAM, Indiana revised its general supervision system to incorporate a focused monitoring (FM) approach in 2004. The state First Steps System contracts with three entities to provide quality review coordination, on-site reviews and local technical assistance. Indiana has ten Cluster SPOEs that serve as the local entity for referrals to Part C. The SPOEs maintain the early intervention record and since 2006 have employed all Service Coordinators and in 2011 all ED Teams. Each of the ten Clusters receives quarterly technical assistance visits and an annual verification visit. These visits are led by the Quality Review team leader responsible for the Cluster. Additional team members include state staff, peers from other Clusters, providers and parents. To provide public reporting of the Cluster performance, Cluster Report Cards were developed in 2006. The reports were revised in 2007 to mirror the Part C State Performance Plan (SPP) indicators. In addition to the annual verification visits, the SPOEs provide quarterly quality review reports and progress updates through their Cluster Performance Plans (CPP). The CPP serves as the Cluster's quality monitoring plan and includes strategies to correct any findings issued by the State, as soon as possible, but no later than one year. Clusters must submit progress data to demonstrate compliance. Once the Cluster SPOE has demonstrated compliance for a reporting period, the data are verified by the state, the finding is verified corrected and the state issues a letter of compliance.

In January of 2011, findings were issued to each Cluster SPOE. While all Clusters were found to meet requirements, each Cluster SPOE received a findings table which listed all noncompliance requiring correction. The Cluster SPOEs were directed to demonstrate 100% compliance for indicators 1, 7, 8, and 9, along with the other related areas of noncompliance (annual IFSPs completed prior to expiration, timely six month reviews, ten day written prior notice, income and insurance documentation) as soon as possible, but no later than one year from the date of the finding. Utilizing the information from the findings table, each Cluster SPOE was required to develop a CPP that identified activities, strategies and timelines for correction of any noncompliance. SPOEs were required to provide periodic progress data and narrative updates to demonstrate compliance with the indicators at six months, nine months and eleven months from the date of the finding. In FFY2011, there were a total of 24 findings for noncompliance with State Performance Plan indicators and 40 findings were for other related areas of noncompliance.

Since the last OSEP verification visit, Indiana has modified its quality review focused monitoring onsite visit schedule so that data can be provided to state staff in a timely manner. This will allow the state to issue findings within the current federal fiscal year. Quality Review-Focused Monitoring (QRFM) visits for FFY2011 were conducted in the months of October through December, 2011, with findings issued by the state to the Cluster within 90 days of the completion of all visits. All findings were required to be corrected within no later than one year.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2011: Indiana has maintained a high level of compliance with this indicator at 96.8% (62/64). This represents an increase of 2.1% from FFY10. Clusters C and E had remaining noncompliance under the state reported indicators regarding Written Prior Notice and Income

Part C State Annual Performance Report (APR) for FFY2011

Documentation. The areas of noncompliance were subsequently corrected outside of the one year timeframe.

Timely Correction of FFY 2010 Findings of Noncompliance (corrected within one year from identification of the noncompliance):

1. Number of findings of noncompliance the State identified in FFY 2010 (the period from July 1, 2010, through June 30, 2011) (Sum of Column a on the Indicator C9 Worksheet)	59
2. Number of findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS programs of the finding) (Sum of Column b on the Indicator C9 Worksheet)	57
3. Number of findings <u>not</u> verified as corrected within one year [(1) minus (2)]	2

Correction of FFY 2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2010 findings not timely corrected (same as the number from (3) above)	2
5. Number of FFY 2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	2
6. Number of FFY 2010 findings <u>not</u> yet verified as corrected [(4) minus (5)]	0

Verification of Correction of FFY 2010 noncompliance (either timely or subsequent):

Indicator 1: As reported in FY10 APR, Indiana was able to demonstrate timely correction of noncompliance and state verification of correction for 9 of 9 Clusters. Verification of correction of noncompliance was completed prior to one year from the finding.

C1.1 Correction of Timely Services (Timely & Subsequent)

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
A	99% (289/292)	100% (89/89)	12/7/11
B	99% (242/245)	100% (86/86)	11/4/11
C	98% (238/243)	100% (90/90)	10/19/11
D	97% (200/207)	100% (77/77)	12/7/11
E	93% (213/230)	100% (95/95)	12/29/11
F	99% (169/171)	100% (25/25)	12/28/11
G	99% (745/754)	100% (190/190)	12/28/11
H	97% (64/65)	100% (150/150)	12/28/11
J	99% (231/114)	100% (61/61)	12/29/11

Part C State Annual Performance Report (APR) for FFY2011

Indicator 7: In FFY2010, Indiana reported that there were three Clusters who were issued program findings for 45 day timeline.

Clusters	Total IFSP'	FFY2010 Reported Data	State Verification of Noncompliance Data	State Verification Letters
State Total	8329		99.8% (8310/8329)	
Cluster A	814	99.9%(813/814)	100%(180/180)	4-1-11
Cluster C	694	99.7%(692/694)	100% (196/196)	4-1-11
Cluster D	511	99.8%(510/511)	100% (122/122)	4-1-11
Cluster E	480	99.6%(478/480)	100% (117/117)	6-30-11
Cluster G	2781	99.7%(2774/2781)	100% (776/776)	12-1-11
Cluster H	483	99.8%(482/483)	100% (102/102)	6-30-11
Cluster I	935	99.8%(933/935)	100% (241/241)	9-1-11
Cluster J	629	99.5%(626/629)	100% (291/291)	4-1-11

Indicator 8A: Timely Transition-IFSPs with Steps and Services

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
B	99.4% (180/181)	100% (95/95)	12-8-11

As reported in the FFY2010 APR Indiana was able to demonstrate timely correction of noncompliance and state verification of correction for one of one Cluster within the one year period. For the one child, where the transition plan was not initially included in the IFSP, the state did verify that the IFSP was amended at the 6 month review, to add documentation of a transition discussion and addition of the steps and transition plan within the document.

Indicator 8C: Timely Transition-Conference if child is potentially eligible for Part B

	FFY2010 Reported Data	State Verified Correction of Noncompliance Data	State Verification Letter	# of records out of compliance	Verification of correction of individual child records
Cluster B	98.9% (88/89)	100%(33/33)	12-8-11	1	Yes, meeting 76 days from child's 3 rd bday
Cluster C	97.7% (86/88)	100%(29/29)	11-30-11	2	2 children exited prior to a transition meeting
Cluster D	99.1% (112/113)	100%(25/25)	11-4-11	1	Yes, meeting 87 days from child's 3 rd bday
Cluster E	97.4% (76/78)	100%(27/27)	11-30-11	2	2 children exited prior to a transition meeting
Cluster G	99.7% (288/289)	100%(97/97)	11-10-11	1	Yes, meeting 71 days from child's 3 rd bday
Cluster H	97.4% (75/76)	100%(30/30)	12-29-11	1	Child exited prior to a transition meeting

As reported in the FFY2010 APR Indiana was able to demonstrate correction of noncompliance and state verification of correction each Cluster.

Part C State Annual Performance Report (APR) for FFY2011

Other Areas of Noncompliance:

1) Annual IFSP Written to Prior Expiration

	FFY2010 Reported Data	State Verified Correction of Noncompliance Data	State Verification Letter
Cluster J	96.3% (26/27)	100%(35/35)	4-1-11

As reported in the FFY2010 Indiana was able to demonstrate correction of noncompliance and state verification of correction for one of one Cluster, within the one year period. In addition the State verified that the IFSP for the one child was written, albeit late.

2) Timely 6 Month Review of IFSP

Correction of FFY2010 Noncompliance – Timely 6th Month IFSP Review

Cluster SPOE	FFY10 Reported Data	FFY09 State Verified Correction of Non-Compliance Data	State Data Verification Date
C	96% (25/26)	100% (29/29)	6-30-11
E	96%(25/26)	100% (25/25)	4-1-11
H	96%(25/26)	100%(25/25)	6-30-11
G	98.7%(77/78)	100%(91/91)	4-1-11
J	96%(25/26)	100%(42/42)	4-1-11

In FFY2010, Indiana issued a finding to Clusters C,E,G,H, J. The state has verified that each of these Clusters has achieved 100% compliance. Additionally, the state has verified that all of these children did receive a review of their IFSP and authorized services, although after the 6 month due date.

3) Written Prior Notice:

Correction of FFY2010 Noncompliance – Written Prior Notice

Cluster SPOE	FFY10 Reported Data	FFY10 State Verified Correction of Non-Compliance Data	State Data Verification Date
B	99% (102/103)	100% (115/115)	4-1-11
E	98%(97/99)	100%(105/105)	6-30-11
G	99.3% (296/298)	100% (368/368)	4-1-11
H	99% (103/104)		*
I	98%(107/109)	100%(48/48)	4-1-11
J	97.3% (107/110)	100% (116/116)	4-1-11

*Finding not corrected within one year

Indiana monitors written prior notice as part of procedural safeguards. The presence of written prior notice documentation is reviewed for the initial, IFSP, changes to IFSP services, the annual IFSP and the transition meeting. In FFY2010, Indiana reported (5) Clusters were issued findings. The state has

Part C State Annual Performance Report (APR) for FFY2011

verified that 4 of 5 of the Clusters achieved 100% compliance. Clusters were monitored for systems corrections.

4) Documentation of Family Income

Correction of FFY2010 Noncompliance – Family Income Documentation

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
A	98.5%(65/66)	100%(61/61)	4-1-11
B	96.1%(49/51)	100% (51/51)	4-1-11
C	96% (48/50)		*
D	98%(51/52)	100%(63/63)	4-1-11
E	95.8%(46/48)	100% (52/52)	6/30/11
G	98.4%(121/123)	100% (181/181)	4/1/11
H	94% (48/51)	100% (53/53)	6/30/11
I	98% (54/55)	100% (48/48)	4/1/11
J	93% (52/56)	100% (79/79)	6/30/11

*Finding not corrected within one year

Indiana monitors documentation of income in the EI record. Indiana requires documentation of income for the determination of the family co-pay. Families choosing not to disclose income may still receive Part C services, but must pay full fee for those services eligible for copay. The presence of income documentation is reviewed for the initial and annual IFSP. In FFY2010, Indiana reported nine Clusters were issued findings. The state has verified that eight of these Clusters have achieved 100% compliance within the 1 year period. One cluster did not make the corrections within a one year period, remaining out of compliance.

Families are not penalized for the Service Coordinators failure to provide income documentation. The subsequent correction of an individual child/family's income documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections through onsite visits and file reviews.

5) Documentation of Insurance

Correction of FFY2010 Noncompliance – Family Insurance Documentation

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
E	91.6% (44/48)	100% (52/52)	6/30/11
G	98.4%(121/123)	100%(181/181)	4/1/11
H	98%(50/51)	100%(53/53)	6/30/11
J	94.6%(53/56)	100%(74/74)	4/1/11

Indiana monitors documentation of insurance in the EI record. Indiana requires documentation of insurance. Families choosing not to disclose insurance may still receive Part C services, but must pay full fee. The presence of insurance documentation is reviewed for the initial and annual IFSP. In FFY2010, Indiana reported four Clusters were issued findings. The state has verified that the Clusters have achieved 100% compliance. Families are not penalized for the Service Coordinators failure to provide insurance documentation. The subsequent correction of an individual child/family's insurance

Part C State Annual Performance Report (APR) for FFY2011

documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections.

6) Appropriate Use of Funds for Provider Services: Indiana performs provider audits to review documentation to support provider billing. In these audits, providers submit parent signed visit forms that are compared the date and time submitted for the provider claim. Providers who are unable to support documentation of the visit receive written notification from the state and are required to pay back the amount reimbursed to the provider for that session. Fifteen providers were cited with a finding in FFY2010. All fifteen providers received notice that the undocumented amount would be subtracted from future claims. All 15 findings were considered corrected once the provider was cited and the reimbursement was paid back to the state.

Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable): Not Applicable

If the State reported less than 100% for this indicator in its FFY 2009 APR and did not report in the FFY 2009 APR that the remaining FFY 2009 findings were subsequently corrected, provide the information below:

1. Number of remaining FFY 2009 findings noted in OSEP's June 2011 FFY 2010 APR response table for this indicator	2
2. Number of remaining FFY 2009 findings the State has verified as corrected	2
3. Number of remaining FFY 2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Indicator 17: Correction of FFY2009 Noncompliance – Written Prior Notice

One finding of noncompliance from FFY09 was subsequently corrected albeit outside the one year time period.

Indicator 18: Cost Participation/Income Documentation Correction of FFY2009 Noncompliance

One finding of noncompliance from FFY09 was subsequently corrected albeit outside the one year time period.

Actions Taken if Noncompliance Not Corrected: Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): While Indiana did not meet the 100% target for this indicator;

Part C State Annual Performance Report (APR) for FFY2011

the state continues to be consistently at a high level of compliance. The state has reviewed its improvement activities and no revisions were made to the SPP.

INDICATOR C-9 WORKSHEET

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2010 (7/1/10 through 6/30/11)	(a) # of Findings of noncompliance identified in FFY 2010(7/1/10 through 6/30/11)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	9	9	9
	Dispute Resolution: Complaints, Hearings	0	0	0
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0

Part C State Annual Performance Report (APR) for FFY2011

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2010 (7/1/10 through 6/30/11)	(a) # of Findings of noncompliance identified in FFY 2010 (7/1/10 through 6/30/11)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
5. Percent of infants and toddlers birth to 1 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
6. Percent of infants and toddlers birth to 3 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
7. Percent of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	8	8
	Dispute Resolution: Complaints, Hearings	0	0	0

Part C State Annual Performance Report (APR) for FFY2011

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2010 (7/1/10 through 6/30/11)	(a) # of Findings of noncompliance identified in FFY 2010 (7/1/10 through 6/30/11)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;	Dispute Resolution: Complaints, Hearings	0	0	0
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
B. Notified (consistent with any opt-out policy adopted by the State) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and	Dispute Resolution: Complaints, Hearings	0	0	0

Part C State Annual Performance Report (APR) for FFY2011

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2010 (7/1/10 through 6/30/11)	(a) # of Findings of noncompliance identified in FFY 2010 (7/1/10 through 6/30/11)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	6	6	6
C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, and prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 34CFR §303.343(a) Annual IFSP written prior to expiration	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 34CFR§303.342(b) Timely 6 month IFSP review	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	5	5	5
	Dispute Resolution: Complaints, Hearings	0	0	0

Part C State Annual Performance Report (APR) for FFY2011

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2010 (7/1/10 through 6/30/11)	(a) # of Findings of noncompliance identified in FFY 2010 (7/1/10 through 6/30/11)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
OTHER AREAS OF NONCOMPLIANCE: 639(a)(6) 470 IAC 3.1-13-2(a) Written Prior Notice	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	6	6	5
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; income documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	9	9	8
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; insurance documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	4	4	4
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 637 (b)(6) 470 IAC 3.1-3-4(5)(c) Appropriate use of funds for provider services	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	15	15	15
	Dispute Resolution: Complaints, Hearings			
Sum the numbers down Column a and Column b			64	62
Percent of noncompliance corrected within one year of identification = (column (b) sum divided by column (a) sum) times 100.			(b) / (a) X 100 =	96.8%

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = $[(1.1(b) + 1.1(c)) \text{ divided by } 1.1] \text{ times } 100$.

FFY2011	Measurable and Rigorous Target
2011	100% of signed, written complaints with reports issued were resolved within 60 day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

Actual Target Data for FFY2011: Indiana did not receive any signed, written complaints in FFY2011. As there were no signed, written complaints for FFY2011, this indicator is not applicable.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2011: State Part C personnel from the Bureau of Child Development Services are assigned to complaints and hearing requests. A complaint and hearing log is maintained. Indiana, through the Division of Disability and Rehabilitative Services - Bureau of Child Development Services, also maintains a contract with a special education attorney to assist with complaints and due process hearings. The attorney provides the state staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings.

Written complaints can be submitted directly to the state First Steps office. Concerns and complaints may also be directed to the Local Planning and Coordinating Council or LPCC. Concerns may be investigated and resolved locally by the Local Planning and Coordinating Council. These complaints must be electronically forwarded to the designated state staff within two days. The state staff will then investigate the complaint and issue a finding to all involved parties within 60 days of the original written complaint. LPCC's maintain concern and complaint logs.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

TABLE 4

REPORT OF DISPUTE RESOLUTION UNDER PART C, OF THE

Part C State Annual Performance Report (APR) for FFY2011

INDIVIDUALS WITH DISABILITIES EDUCATION ACT
2011-12

STATE: INDIANA

SECTION A: Written, Signed Complaints	
(1) Total number of written, signed complaints filed	0
(1.1) Complaints with reports issued	0
(a) Reports with findings of noncompliance	0
(b) Reports within timeline	0
(c) Reports within extended timeline	0
(1.2) Complaints pending	0
(a) Complaints pending a due process hearing	0
(1.3) Complaints withdrawn or dismissed	0
SECTION B: Mediation Requests	
(2) Total number of mediation requests received	0
(2.1) Mediations held	0
(a) Mediations held related to due process complaints	0
(i) Mediation agreements related to due process complaints	0
(b) Mediations held not related to due process complaints	0
(i) Mediation agreements not related to due process complaints	0
(2.2) Mediations pending	0
(2.3) Mediations not held	0
SECTION C: Due Process Complaints	
(3) Total number of due process complaints filed (for all States)	0
(3.1) Resolution meetings (applicable ONLY for States using Part B due process hearing procedures)	0
(a) Written settlement agreements reached through resolution meetings	0
(3.2) Hearings fully adjudicated (for all States) -	0
(a) Complete EITHER item (1) <u>OR</u> item (2), below, as applicable.	0
(1) Decisions within timeline - <u>Part C</u> Procedures	0
(2) Decisions within timeline - <u>Part B</u> Procedures	0
(b) Decisions within extended timeline (applicable ONLY if using Part B due process hearing procedures)	
(3.3) Hearing pending (for all States)	0
(3.4) Due process complaints withdrawn or dismissed (including resolved without a hearing) (for all States)	0

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 11: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = $[(3.2(a) + 3.2(b)) \text{ divided by } 3.2] \text{ times } 100$.

FFY	Measurable and Rigorous Target
2011	100% of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

Actual Target Data for FFY2011: Indiana did not receive any due process hearing requests in FFY2011.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2011: Indiana Part C assigns a state staff member from the Bureau of Child Development Services to monitor and resolve complaint and hearing requests. A complaint and hearing log is maintained at the State level. Indiana, through the Division of Disability and Rehabilitative Services-Bureau of Child Development Services, also maintains a contract with a special education attorney. The attorney provides the Part C staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings.

Over the past four years, a booklet was designed to familiarize families with Procedural Safeguards. Core training on Procedural Safeguards along with annual training on IDEA Part B and C was also completed in FFY2008. Indiana offers annual training on IDEA Part B and C rules. This particular training addresses procedural safeguards and transition for providers.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 12: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = (3.1(a) divided by 3.1) times 100.

FFY	Measurable and Rigorous Target
2011	Not Applicable - Indiana has not adopted Part B due process hearing procedures.

Actual Target Data for FFY2011: This indicator is not applicable, as Indiana has not adopted Part B due process hearing procedures.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2011: Not applicable, as Indiana has not adopted Part B due process hearing procedures.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2012: Indiana has not set targets for this indicator, as the state has not adopted the Part B due process hearing procedures under 34 CFR § 303.420.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 13: Percent of mediations held that resulted in mediation agreements.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = $[(2.1(a)(i) + 2.1(b)(i)) \text{ divided by } 2.1] \text{ times } 100$.

FFY	Measurable and Rigorous Target
2011	NOT APPLICABLE – Indiana has not set targets for this indicator, as it has not met the minimum threshold of 10 mediation requests.

Actual Target Data for FFY2011: There were no mediation requests in FFY2011.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2011: Indiana, through the Division of Disability and Rehabilitative Services-Bureau of Child Development Services, maintains a contract with a special education attorney to assist with mediations. The attorney provides the Part C staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings. Once the IDEA, Part C regulations are available, the attorney will address any needed revisions to the current policies and procedures.

The Service Coordinator and Direct Service Provider orientation trainings were revised and each provides expanded sections on procedural safeguards. As previously mentioned, revisions to the booklet, "A Family's Guide to Procedural Safeguards" were completed in FFY2008.

Revisions, with Justification, to Proposed Targets/Improvement Activities/Timelines/Resources for FFY2011: Indiana has never received the minimum of 10 mediation requests; therefore, no targets have been set for this indicator.

Additional Information required by the OSEP APR Response Table for this Indicator (if applicable):
None requested.

Part C State Annual Performance Report (APR) for FFY2011

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: State reported data, including 618 data, State performance plan, and annual performance reports, are:

- a. Submitted on or before due dates (February 1 for child count and settings and November 1 for exiting and dispute resolution)
- b. Accurate, including covering the correct year and following the correct measurement.

States are required to use the "Indicator 14 Data Rubric" for reporting data for this indicator (see Attachment B).

FFY	Measurable and Rigorous Target
2011	100% of state reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

Actual Target Data for FFY2011: 100% of the required state reported data, including 618 data; SPP and APR were submitted by the dates due and have been verified by state staff as accurate. (Self Calculating Data Rubric for Table 14 is attached.)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2011: Indiana has submitted accurate and timely data to OSEP. The state is confident in the accuracy of its comprehensive data system. Data from the IFSP are entered directly by the Cluster SPOE and claims information is provided by the Central Reimbursement Office (CRO). Data from both these sources is provided to the Data Warehouse for additional analysis.

Missing data elements on IFSPs are returned to Service Coordinators for completion. Indiana's data system contains numerous self audits to prevent the input of invalid data (for example, a referral date cannot be entered prior to the birth date or IFSP date cannot be prior to the eligibility date). Other validations include multiple sources for most data elements. Additionally, all data supplied by the SPOE's are monitored annually during on-site visits focused monitoring verification visits to each of the ten Cluster SPOEs. The dynamic nature of the system requires constant validation of data and on-going training. Training is conducted regarding requirements and procedures for collecting and reporting data for individuals who perform data entry functions at the Cluster SPOEs.

The SPP and APR are posted on the state training website (<http://www.utsprokids.org/firststepsinfo.asp>), in addition to the public report on the performance of programs in comparison to State SPP targets for indicators 1, 2, 3, 4, 5, 6, 7, and 8A, 8B 8C and 9.

Part C State Annual Performance Report (APR) for FFY2011

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

2011 SPP/APR Data - Indicator 14			
APR Indicator	Valid and Reliable	Correct Calculation	Total
1	1	1	2
2	1	1	2
3	1	1	2
4	1	1	2
5	1	1	2
6	1	1	2
7	1	1	2
8a	1	1	2
8b	1	1	2
8c	1	1	2
9	1	1	2
10	1	1	2
11	1	1	2
12	NA	NA	0
13	1	1	2
		Subtotal	28
APR Score Calculation	Timely Submission Points - If the FFY 2011 APR was submitted on-time, place the number 5 in the cell on the right.		5
	Grand Total - (Sum of subtotal and Timely Submission Points) =		33

Part C State Annual Performance Report (APR) for FFY2011

Table	Timely	Complete Data	Passed Edit Check
Table 1 - Child Count Due Date: 2/2/11	1	1	1
Table 2 - Program Settings Due Date: 2/2/11	1	1	1
Table 3 - Exiting Due Date: 11/2/11	1	1	1
Table 4 - Dispute Resolution Due Date: 11/2/11	1	1	1
618 Score Calculation			Grand Total (Subtotal X 2.5) = 30

A. APR Grand Total	33
B. 618 Grand Total	30
C. APR Grand Total (A) + 618 Grand Total (B) =	63
Total NA in APR	2
Total NA in 618	0
Base	63
D. Subtotal (C divided by Base*) =	63/63 = 1
E. Indicator Score (Subtotal D x 100) =	100%